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ABSTRACT

The program portion of this meeting was devoted to the future of higher education in the United States. Dr. Roger Heyns discusses the problems caused by the discrepancy between the national goals which have been stated in legislation and the budget for programs to achieve these goals, and the discrepancy between enacted legislation and funding with respect to welfare, health, education, housing and environment. These problems will eventually lead to a re-examination of national goals and the financial commitments to meet those goals. John Hughes reviews significant acts of Congress of the past year to detect a few clues as to the future of higher education in the seventies. The major portion of these minutes is devoted to business and committee reports of the Association of Research Libraries (ARL). (Other ARL meetings minutes are ED 067115 and LI 004 505-510 and 004 512.) (Author/SJ)

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TRENDS IN HIGHER EDUCATION IN THE SEVENTIES

Minutes of the Eighty-First Meeting

January 27, 1973
Washington, D.C.

LI 004 511

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ASSOCIATION OF RESEARCH LIBRARIES

Minutes of the 81st Meeting

John P. McDonald, presiding

The 81st Meeting of the Association of Research Libraries was held at the Shoreham Hotel in Washington, D. C. on January 27, 1973.

President McDonald opened the meeting by welcoming new and alternate representatives of member institutions and guests of the Association.

After explaining the procedures to be followed during the program, Mr. McDonald indicated that one of the scheduled guest speakers, Dr. Joseph Cosand, Deputy Commissioner for Higher Education, U. S. Office of Education, was unable to attend the meeting, and that John Hughes, Assistant Deputy Commissioner for Higher Education, would speak in his place.

Mr. McDonald then introduced the first speaker, Dr. Roger Heyns, President, American Council on Education.

MR. MCDONALD: Ladies and gentlemen, if some of you are experiencing a sense of déjà vu as we meet here today, there is a very good reason for it. Four years ago almost to the day, this Association met in Washington. We met here at the Shoreham Hotel, perhaps in this very room. Richard Nixon had just been inaugurated for the first time. A new administration was taking control and many changes were in prospect for higher education.

One of the principal speakers at that 73rd meeting of the ARL was Peter Muirhead, then Acting Commissioner of Education. He must have felt much as John Hughes does today, for although the administration is not changing hands, the Department of Health, Education and Welfare is. We hear on every side that change is the order of the day, and we will be affected by it.

Four years ago Mr. Muirhead's solution to the delicate situation in which he found himself was to look back ten years, and to note the great changes made in higher education during the preceding decade. He then went on to describe what he called the "new pattern of federal aid to higher education." He cited four principles upon which this new pattern was to be based:

> The first principle is continued support for private as well as public institutions, and support provided in such a fashion that it does not impinge on institutional autonomy and independence. The second principle underlying the new pattern of federal support of higher education promises that the institutions will be helped to meet their own missions as well as those of the national or federal interest. The third principle underlying federal support is continued emphasis on equality of opportunity. The fourth principle is recognition of the absolute necessity for our institutions of higher education to involve themselves deeply in seeking solutions to the problems facing our society, particularly in our urban centers.

I am not sure how carefully we listened to Mr. Muirhead. If we had paid closer attention to what he was telling us, perhaps we would not be faced with some of the difficulties that seem to be in store for us.

Our speakers today may help us to understand where we went wrong, or more importantly, how we can regain the proper way. And perhaps they will reveal new principles that will support a continuing and better relationship between the public and private interests in higher education.

This morning the Association of Research Libraries is fortunate to have as speakers two good friends of libraries, Roger Heyns and John Hughes. It is not because we are meeting here in Washington that we have as participants two of Washington's prominent educational spokesmen. Rather, it is because they are important educational leaders.

We are eager to secure their views on the probable future of higher education and what that future may mean to libraries, particularly large libraries of the sort that make up the membership of this Association.

Our first speaker, Dr. Roger Heyns, President of the American Council on Education, has been a thoughtful observer of higher education for many years, and will be one of its principal spokesmen for some time to come. We are privileged to have him with us today. I am honored to present Dr. Roger Heyns.

* * * *

DR. HEYNS: I would like to make some comments about what I think are the major currents in higher education, viewed in the larger context in which our problems have to be solved. The first observation I want to make has to do with what I would call the very substantial discrepancy between the national goals which have been stated in legislation, and the budget for programs to achieve these goals. This is not an anti-administration statement. It just is a fact that this discrepancy is substantial and growing. The perception of the magnitude of this discrepancy will increase in clarity in the next months and years.

And there is a discrepancy between this enacted legislation and funding with respect to welfare, health, education, housing and environment. This discrepancy will exist in very large and important parts of American life. The discomfort will accumulate in such a way, I think, as to lead to a re-examination of those goals stated in national legislation, and the re-examination of all the assumptions we make about the funding of those programs.

What I predict is that what otherwise might be a normal disgruntlement when areas are alleged to be underfunded, will be qualitatively changed into a basic re-evaluation in which everybody will participate. This re-evaluation might be structured by some in terms of the relationship between the President and the Congress, but the fact is, there will be a re-examination with respect to national goals and the role of government in the financing of programs. As a practical matter, it seems to me also, there will be a re-examination of the extent to which we want to tax ourselves. There are obvious corollaries with respect to revenue sharing and inflation. All of these considerations will be involved in this re-examination.

To put it in other terms, the nation has, through enacted legislation, authorized programs of enormous magnitude. Elliot Richardson had some figures that indicated that if all of the programs now authorized in the area of family assistance, right to read, and other programs (other than welfare) having social import were funded, there would need to be some eleven million people added to the professional and sub-professional staff just to operate those programs.

The existing discrepancy between authorization and appropriation is now being extended by substantial cuts. The revenue sharing program is too new to be seen as having any kind of significant impact on these discrepancies, but it seems reasonable to predict that even if revenue sharing turns out to be effective, it will not be as closely related to national goals as one might expect. All of this leads to this massive re-examination.

The strategy with respect to budgeting and allocation of resources is importantly related to the assumptions we make about the outcomes of this re-examination process. If one assumes that the process of re-examination can be expected to result in increased taxation, and that some of these increases in proceeds will go to these federal and state programs, then, in effect, we are in a holding pattern. If, on the other hand, the present mode is relatively permanent then we are in a different situation entirely, and the implications of our activities are quite different under these two conditions.

My best guess is that the best, most prudent present posture is that of a holding pattern, where our efforts are to be in two directions. One of them is to achieve the best possible fit between our tasks and our resources. This means a reduction of some of the functions we serve in order to get that better fit.

In that context I might just say that proposals that represent an effort to improve the extent to which our present resources are being used have a chance of getting funding, but proposals that reflect the general kind of incremental posture that we have had do not have a good chance of getting funding.

I really am trying to get across to you that our posture here has to be different. Most of us were trained to develop good programs, and then to ask for annual increments which we could defend on the basis of greater usage, or increased costs, or the fact that we were not anywhere near where we intended to be. And we did not have to spend a lot of time in the justification of the program itself. We were arguing for add-ons. However, that mode is really not going to be the effective one during this holding period.

Furthermore, and this leads me to the second task during this holding pattern, we have to participate in this national re-examination. Our form of participation involves a re-examination of our role, and the place in the priority scheme of things that we believe we ought to have. The ultimate result of this re-examination has to be a more successful fit between our stated national goals and our resources. This gap can, in theory at least, be closed by limiting or lowering our goals, or by increasing our resources, or both. Actually, the realistic proposition is that we will do both. This is going to take a good deal of time.

We in education, along with all other segments, have to participate in that re-examination. We are not exempt from it. We have to engage in this process with a good deal of vigor. I do not think it is possible for us to engage in this debate by refusing to examine the possibility of goal modification. It is not possible for us to insist on add-ons when everybody else has to contemplate modifying their programs.

This is not a disclaimer on the part of the representatives here in Washington of the legitimacy of our needs, nor is it a statement of weariness or a lack of determination. I am suggesting that our plight has to be seen in the context of similar decisions with respect to other areas. We are likely to get minor add-ons from the Congress, but no significant change in dollars, or in the basic posture that I am talking about.

You notice that even in this morning's paper, the expenditure limitation has had bipartisan support. My own reading of the Congress is that there may be differences about allocation, but not serious changes in the funding level. Almost everybody I talk to, whether about education or anything else, is seriously confronting the need for this re-examination.

This leads me to what I think to be one of the major corollary tasks that all of us in higher education have to become informed about and participate in. That is the development of a theory of financing for higher education. The Committee on Economic Development, the Kerr Commission, and the new Commission on the Financing of Post-Secondary Education are all, in one way or another, attempting to develop a theory of financing. And by this I mean, who pays for what, at what level, and for what purposes?

This theory of financing is being developed at the state level and within private institutions. There are assumptions about who is going to do what, but these are not coordinated plans. Important issues, such as how much the student is going to pay, which is an important part of the theory, is handled at the State capitols every year in connection with the proposed expenditure levels of the university itself. And yet this ought to be something about which we develop a national posture.

I would like to suggest in this connection that when we participate, we have to impose some discipline upon ourselves with respect to this. I find that when you get into this topic, people will begin to propose a method of financing in such a way as to suggest that this and that should be the only method. We tend to polarize these discussions, by making such statements as "Increase charges to students." That becomes a kind of dogmatic statement. The controversy between institutional aid and aid to students who are federally assisted, also kind of got polarized.

It seems to me we must have an eclectic theory of financing, with some institutional grants, with some money directly to students, with some institutional assistance attached to students who are objects of special federal attention, and so on. The purpose of this eclectic theory is to

end up with a mode or at least a principle, that does not each time have to be an issue of controversy, and that will protect our institutional diversity and variety that we all cherish and need.

What I am suggesting is that all of these theories that are presented are going to be incomplete, but we ought, as educators, to be serious students and informed participants in this discussion.

Another trend that I think is inevitable will be a shift in locus of important decision-making from Washington to the states. This does not just involve the public institutions, but the private as well. Revenue sharing is one evidence of this shift. In addition, there is an administrative policy that programs of the government will be packaged, and important decisions within that package will be made at the state level. Secretary Richardson has emphasized this.

We do not see clearly the implication for collective action in Washington of this shift of decision-making to the states. It is certainly clear that we in Washington must have much more information and contact with State governments than we have had in the past. I think that it is important to recognize this, and to re-examine the quality of our contacts at the State level.

Closely related to this, but differentiable, is the trend toward systems. Thirty-seven states already have some form of coordinated programs. It is predictable that the remaining states will develop such programs in relatively short time. Almost all the states now are members of the Education Commission of the States.

It seems to me that as this trend toward systems is inevitable, so is the improvement of the quality and amount of participation of higher education in the development of these systems plans. I do not have to remind you that the attitude of most institutions of which you are members has been something less than complimentary in regard to the development of systems. We started out with the proposition that systems were not needed. Then when they were established, in spite of our advice, we managed to keep them impotent through lack of financing and through urging upon the appointing authority that they appoint incompetent people. All those things have changed. Systems are in many, many cases now, very well staffed and very well financed, and their authority is much greater than it has ever been. These considerations, plus the fact that some federal statutes tie federal expenditures to planning groups like 1202 Commissions, indicate that it is a fact of our life that these systems are going to be developed, and that a certain amount of autonomy is going to move from the individual campuses to these more central agencies.

I would like to suggest that there would be good reason for full cooperation in putting our best effort into determining the way in which these organizations are developed, staffed and operated. Indeed, our best

chance for maintaining diversity and uniqueness will come when we are a part of a system. The best protection for diversity it seems to me, really does not come from freedom to participate in a general market, but comes from operating in some kind of system.

Much of the homogenization, much of the inability to differentiate among institutions, is due to the fact that institutions, in order to justify their existence, have been obliged to take up more and more functions in the interests of their own financial and social support. I think it is very difficult for an institution to say that this particular form of training we are not interested in; we cannot do it. It is much more difficult to take this position in a non-systems situation, than when that particular decision is validated by the system as a whole. I would suggest that great research libraries have been more threatened by promiscuous free enterprise than they will be by planning.

Now I am not so removed from my past that I do not understand the anxiety about autonomy. But I would like to suggest that that is not a religious problem, that is a practical problem. I found that it was possible to work inside a system of nine universities, and be a part of that system, and still maintain distinction and distinctiveness. The issue here is to participate thoughtfully and practically in the development of a theory about where decision-making ought to be located, for what purpose, and with what justification. If we insist on making certain kinds of decisions on the campus, we must have a rationale for that insistence and it must relate to effectiveness.

I believe then, that we are not talking about autonomous institutions versus non-autonomous ones, but autonomous in Area A, consultative in Area B, shared participation in Area C. I think we are on the way in some of the more mature systems to developing that kind of theory. This is a practical matter, and I believe that there can be real value in developing a theory regarding what must be involved in our decision making. In any case, it is a task we have to work at.

To summarize, I really am suggesting that our tasks are to participate in this national re-examination of our goals and the extent to which we want to finance ourselves to meet those goals. We are involved in a shift in decision-making about important aspects of our life from the federal government to the states. Within that context, more and more of the crucial decisions affecting us are going to be made in the context of a system. This is a context in which we live.

There was a time in the Eisenhower administration and the Johnson administration particularly, when higher education had people in the Executive Branch who were self-starters. That is, the Administration itself had a posture and a plan. These were people who had ideas, and our task, if you think of it functionally, was to help them define those goals, and to give them the support and the advice and the data that they needed. The problem of getting programs instituted and supported was minimal.

Now our relationship to government, our relationship to public policy, is different. And it is different for all other aspects of American society. And so the fact of the re-examination and the shift of locus means that lots of the techniques that we had been using in the past to achieve our objectives have to be re-examined, and are in the process of changing. A new habit of interacting will have to be developed.

This all seems to be very pessimistic. It is difficult, but I think there is promise in it. Our task of educating the young and adding to our knowledge is as important now as it ever has been. Some qualitative differences have developed which are going to affect the way in which we operate, but I earnestly hope that the troubles do not discourage you, and that the challenges are clear to you. I think that some important and useful things can come out of this re-examination.

* * * *

MR. HUGHES: The mandate to look ahead five to ten years in terms of the future of higher education is a bit of a charge to federal bureaucrats, who are now more or less conditioned to live under vetoed appropriations, continuing resolutions and the like, which lead to more of a day-to-day and moment-to-moment existence than a five-to-ten-year look ahead. As you can well imagine, the crystal balls in the Office of Education are pretty murky, and such tea leaves as you can find around are shifting so madly that you would not want to try to read them. So we do what you do. We fall back on informed sources and the planned leaks. We read the press and get much of the same information you do from the same sources. But looking at those sources of information, as well as the rather substantial and significant acts of the Congress of the past year, perhaps we can detect a few clues as to what lies ahead.

First of all, of course, we have the momentous and milestone legislation of Public Law 92-318, the Higher Education Amendments of 1972. For those of us who look back, these are certainly great moments in history, added to the original passage of the National Defense Education Act of 1958, and the Higher Education Acts of 1963 and 1965. Looking at just a few of the clues in this legislation, in terms of the new thrust of federal involvement in higher education, I think we must first point to the very obvious intent of the legislation, backed up by the Administration in its proposals and in its budget, to equalize access and opportunity for higher education for all students.

The main component of the new legislation is the Basic Opportunity Grant, which extends to all students an entitlement up to $1400 a year, not to exceed one-half the cost of education, and varying depending upon the family income and circumstances of the individual applicant. But nevertheless, there is a new concept, an entitlement to a grant, a sum of money, whatever it may be, for a student to attend the institution of his choice.

This is a guarantee by law that I think in many ways goes a step beyond the previous ones of assistance, that depended in large part upon the initiative of the institution, as well as the initiative of the student.

Secondly, the liberalization of the guaranteed student loan program indicates another recognition of the fact that educational opportunity and access for students must be given some form of public support. The liberalization in the law calls for the increase to $2500 of the annual dollar amounts that can be borrowed by a student, and makes the federally-guaranteed subsidy available not only to low income students, but to students of all income levels, provided they can show the need of such a subsidy. Another new provision is the creation and expansion of grants for state scholarship programs, which encourages the state to set up scholarship programs which, in effect, will also underwrite the opportunity for all able and needy students to continue their education. These then, are some evidences of the Congressional intent to assist all students in financing whatever form of post-secondary education they may choose.

In addition to these new and amended provisions, we have retention of existing programs, such as the National Defense Student Loan Program, Work Study Program, and the Economic Opportunity Grant Program. We also have the retention of programs calling for specialized assistance, such as Upward Bound, Talent Search, and special services for disadvantaged students in institutions of higher education. These are programs for able and needy students who need the encouragement at the secondary level to continue their post-secondary education. In other words, these are all components of a very strong thrust of the Administration and the Congress to equalize access and opportunity for higher education.

In the area of institutional aid approaches, I think the legislation also establishes a milestone in terms of recognizing the institutional need for assistance in terms of federally-aided students. That formula also recognizes the institutional requirements and incentives for graduate students. A special provision in that area is a cost of instruction allowance for Vietnam veterans. Those institutions which now enroll substantial numbers of veterans are eligible for an entitlement of up to $300 per student for all such eligible veterans. One other feature of the institutional aid approaches is the retention and expansion of forms of aid to developing institutions, such as the predominantly black colleges of the South. This is specifically set forth in the authorization of Title 3 of the Higher Education Act.

Another thrust in the amendments is the new assistance and cooperation with States. The new forms of state leadership involve new relations for institutions at the state level. Likewise, the Office of Education and other federal agencies concerned with higher education, will, to a large measure, work through the new state instrumentality.

Chief among these state agencies is the Section 1202 State Commissions for planning post-secondary education. As you probably know, these Commissions, which are now recognized in the legislation, are to be broadly representative of both the general public, and public and private forms of post-secondary education in the state. One of the very difficult tasks that now faces the Office of Education is the development of regulations and criteria which will define the basis for those Commissions, the creation of their organizational structures, and the kinds of representation that will fit the requirements of the legislation. Once established, these Commissions are then in a position to develop plans for the provision for post-secondary education throughout the state to the extent that should the state chose to do so, it may pursue matching grant programs for the extension of community college services to all citizens of the state, and as well, occupational education services for all citizens of the state. In other words, hinged to these State Commissions are newly authorized grants-in-aid for community colleges and occupational education designed to reach all citizens of all states.

In the area of the existing categorical programs, the legislation by and large continues existing forms for categorical assistance, i.e. those illustrated by the Higher Education Act, Titles 1, 2, 6 and 8: Title 1, dealing with community services and continuing education; Title 2, with college library assistance; Title 6, with the improvement of undergraduate instruction; and Title 8, with the establishment of Networks for Knowledge.

The last point I would like to touch upon in terms of the legislation is the creation of new federal instrumentalities for the provision of leadership and assistance to education. Of special interest and significance to you is the new National Institute for Education, which in many ways will soon surpass missions of the Office of Education to engage in research in education and to assume new missions in that area.

The Fund for Post-Secondary Education as you probably recall, was to have been a foundation for post-secondary education. While the Congress chose not to authorize a specific organizational structure known as a "foundation," they did include an authorization for a Fund for Innovation. This will be a very significant addition to the program of the Department and to the new Education Division.

Also, I should mention that the Congress in its legislation created the structure of an Education Division within the Department of Health, Education and Welfare. In so doing, I think, it did raise the level of recognition for education within the Department, and put it organizationally, at least, on a par with the Health Services. In the past there was an assistant secretary responsible for the coordination and supervision of Health Services. We now have a comparable official in the area of Education--an Assistant Secretary for Education.

Well, so much for the Congressional highlights and the thrusts that are set forth in the legislation itself. I think now we might turn our attention to the priorities of the Administration and the budget. As you well know, I am not at liberty to give specifics in terms of either budget figures or specific actions in the budget, but we can talk about the priorities as they do emerge.

First of all, it is important to recognize the fact that the Administration budget will give strong recognition to the student aid thrust of the legislation. While there will be many disappointments in the budget, I do not think there will be disappointments in the area of the scope of assistance that will be provided for financial assistance to students.

The student-aid package of grants-in-aid, of guaranteed student loans, and work study assistance will be present in the budget, and a very strong part of the Office of Education budget will be devoted to this area of assistance. In addition, we will continue the programs of assistance such as Upward Bound, Talent Search and special services for disadvantaged cudents in institutions of higher education.

In the area of institutional aid, there will be continued recognition of the need to strengthen and grant extra assistance to the underdeveloped institutions, predominantly the black colleges of the South and other urban institutions of this character, which do meet the definitional requirements of an underdeveloped institution. One of the thrusts of the new program will be to emphasize consortia of service to this group of institutions, and ways to accelerate their development.

In the area of state assistance and cooperation, there will be strong administrative priority given to the creation of the new State Commissions, and to the technical assistance that states will need to move in the establishment and functioning of those Commissions. The de-emphasis of existing narrowly-based categorical programs is the one part of the Administration budget that may prove disappointing.

We are entering a period of re-examination as noted by Dr. Heyns. I heartily endorse Dr. Heyns' comments in terms of the need to look at this period rather constructively in terms of the opportunities that it presents for new ventures and new approaches in terms of federal leadership. I know that you are wondering what those thrusts might be in the area of libraries. I will try to touch on a few of the possibilities there.

I think it is fair to say that the Administration's budget will both emphasize the general revenue sharing approach and the enlargement of state and local decision-making in terms of the disposition of federal funds. The new thrusts involving special revenue sharing for education will be a new part of the budget, in terms of recognizing ways in which existing categorical programs can be put together in complexes which are, first of all, more readily administratable by the states, which grant greater freedom

to state and local units to decide how to use the federally-granted funds, and which in the process simplify the administration.

In terms of the re-examination and the possibilities for new thrusts from the federal level and for participation with institutions such as the Association of Research Libraries, I would like to call attention, first of all, to the National Institute for Education and the Fund for Innovation. These are new sources of funding for a variety of new ventures in the area of research dissemination. I think it is fair to say that the availability of both the authorizations and the funds for both of these organizations are targets of opportunity for your institutions and for your organization.

We have already opened discussions with these units in terms of ways in which the various library units and institutions can qualify and can make proposals within their authorities. We will be glad to cooperate with you in furthering that kind of participation.

In terms of some specific ways in which the federal leadership might take on new forms, I would like to suggest that we start thinking about approaches such as the creation of a National Library of Education modelled after the National Library of Medicine, the National Library of Agriculture, and others. I think projects such as this are within the realm of possibility in terms of Office of Education leadership and interest, and perhaps NIE funding.

We would also like to look at the possibilities for new forms of interstate cooperation, the design of model systems for delivering library services to the unserved clientele, for special services to institutional clientele, and various ways of improving and equalizing service to unserved populations. In this search for new models we will be very eager to participate with you in the design of new strategies and new approaches for improving services to the public, and particularly to that part of the public which is now unserved or poorly served.

In terms of our federal assistance and cooperation, we do intend to work very closely with the National Commission on Libraries and Information Science, as well as with the Library of Congress. We think those units at the federal level, which have special responsibility for leadership in areas of library services, can do much to pool their resources and to coordinate their activities in terms of a consolidated position of federal leadership.

Within the education structure itself, the Bureau of Libraries and Learning Resources will certainly serve as an advocacy unit within the Office of Education for the promotion of library services, for the improvement of library components within existing programs, and for the recognition of the needs of library components in such new programs as the acceleration of the development of underdeveloped institutions.

Lastly, I think we look forward to the opportunity to cooperate with you individually and as a group, in terms of the design of new strategies and tactics for national leadership. I think it is only natural to assume that if there is a de-emphasis on existing categorical forms of assistance, that other forms of leadership must be designed to take their place. We look forward to working with you in some of those exciting new opportunities.

Thank you very much.

* * * *

Discussion:

MR. MCDONALD (Connecticut): We will now begin our question and discussion period. I will serve as moderator but the discussion will be engineered by the ARL Federal Relations Committee, of which Robert Vosper is chairman.

MR. VOSPER (UCLA): I would like to ask for a reaction from ARL and from our speakers, about a significant dilemma that we face, in view of the new postures just described. It is very clear about the shift in planning to the state level, and the movement of funds to the state level. This presumably has some advantages, as Dr. Heyns suggests. We are all involved in one way or another in some kind of state planning. Mr. Hughes later on raised us up to a slightly different level by talking about regionalism, but it seems to me that many of us in the larger research libraries face a significant dilemma, because in terms of developing systems that are really responsive and effective, we have got to continue to find even more effective ways to develop systems and coordination at the national level, and to develop entities at the national level that are responsive across the country.

We need new structures. We need new service programs. We need research. We need all kinds of things, but in terms of the presentations so far, one gets a sense of either a potential vacuum, or at least a real need right now for us to forge some new kinds of relationships with other bodies, such as the American Council on Education and the American Association of Universities. These organizations also have a real need to work on a national basis. It is pretty clear to me that my relationships with Indiana and Yale and Cornell are more significant totally than my relationships with San Bernadino State or even Stanford and Berkeley. How do we shift now to make effective that which is our new real thrust? It poses a real dilemma.

DR. HEYNS: I made some remarks about a theory of financing and the identification of certain functions that come from thinking in systems terms. It is going to be very clear that there are certain kinds of activities that are really national in scope, and have to have national programs. I believe that this will become increasingly clear, and I recognize without argument, and even with affirmation, that research libraries are a case

in point. I think graduate training is another area that would be primarily a national responsibility.

So I do not really think of it as a dilemma. I think that you do have two tasks. One of them is to improve interconnections among libraries on a regional basis, and to relate effectively to the library planning at the state level. But I do not suggest at all by that that there will not emerge some very clear national functions, and we ought to identify them. I think there are many such functions that are pretty obvious in the library area.

In spite of the static level of the budget, I believe that programs that are at the national level, which have a good chance of assisting these specialized functions, have a good chance of being funded, especially the ones that we can make a case for as increasing the effectiveness of existing resources.

I think one of the things that will happen as a result of re-ordering, is that not everybody will be permitted to do everything, and the research library is a perfectly good case in point. So I do not think it is a dilemma. I think it is a dual task, and we have to be sure that certain national tasks are recognized in national programs. This might actually improve a lot of the research libraries. This does not mean that politically it is not difficult, because there are a lot of people who aspire to develop distinguished libraries with large collections, and so on. So it is not going to be politically easy, but it is part of this process of very sharp re-examination of who ought to do what. And I do not think that the research libraries will be in bad shape if we really confront that question.

MR. VOSPER: I have just one further thought, Dr. Heyns. You said the other area was graduate study, and I think that we would agree. I would only hope when I talked about forging relationships, that one thing we must do in the next years is to develop a balance and a full working relationship with thinking and planning national graduate studies. That is for our salvation. There we may need to turn for help to people like yourself.

DR. HEYNS: Well, let me remind you that the Council, along with the National Research Council, the Social Science Research Council and the American Council of Learned Societies has established the National Board on Graduate Education. I frankly do not know how much interaction there has been between that group and this one, but I certainly think there should be. David Henry, as you know, is heading that activity and has been trained by University of Illinois librarians, and ought to be sensitive to this. He might examine the adequacy of your relationship to that group.

MR. MCDONALD: One of our members, George W. Stone, has been anxious to have us do just this. It is something that the ARL Board has discussed, and I think ought to pursue more vigorously than it has.

MR. DIX (Princeton): I was going to make a somewhat similar observation. You said, Dr. Heyns, it was not a dilemma, but these two trends, I think, are going in different directions. One, we in the libraries see now more clearly than we have for a long while, that we have got to think on broader national, and indeed international levels. To take a specific illustration, in regard to the concept of the sharing of resources, it is very clear that we can not go on forever the way we have been, building up individual private collections. On the other hand, you spent some time defining a trend toward state control of funding operations. Now the problem, it seems to me, is how we go about taking the initiative to set up mechanisms on a national level, and, to be more specific, how we get the money for these mechanisms. If the money trickles down through the state to the institutions, then we have got to have another mechanism to trickle it back into some central force. This is politically difficult. What we did some years ago was manage to latch on to some going trends. In 1965, for example, the Higher Education Act, Title 2C, illustrated very clearly that a relatively small amount of money provided nationally had benefits spread rather widely.

I guess my question for Mr. Hughes might be whether the new National Institute of Education is the way one might get at that to replace the old categorical Congressional legislation? Let us suppose we have the concept for a national agency that would do a particular library job, such as a National Materials Lending Library, one we have been talking about a great deal recently. I suppose you can not answer immediately what is the best way to get some federal money into this, but is this the kind of thing that the new Institute might be interested in discussing?

MR. HUGHES: Well, naturally I am not free to speak for Thomas Glennan and his organization, but in talking to him prior to this meeting, I think it is clear that there are interests at the National Institute of Education in this type of cooperation. There is an interest in working with you to develop ways in which we might think of model building, for example, in terms of structures that would operate on a national or a regional basis, in terms of sharing services and collections and making it possible for non-participants to engage more actively in services that are now enjoyed by some. I have here, for example, a report of SLICE [Southwestern Library Interstate Cooperative Endeavor]. This is a project funded by the Council on Library Resources which involves six states. It is an example of a kind of service that represents a consortium, a way of pooling resources, a way of putting together federal-state funding. It is that kind of instrumentality that the National Institute of Education would be interested in funding. We in the Office of Education would be willing to join with you to develop projects of this kind that would qualify for that kind of funding. We would like to encourage you to do so.

DR. HEYNS: I would like to emphasize that too. The American Council on Education would like to be informed of national programs that you believe are appropriate national programs. We would like to work out the strategy

for these national programs--where they should be located, and what federal programs should be involved. But I think that what you are saying is that the move back to the states for important decision-making and funding ought not to be promiscuous. There are some things that are logically national programs. I believe there is sensitivity to this. National programs have to be differentiated from the others. That process is just beginning to go on.

JOHN HUMPHRY (New York State Library): In terms of the potential for planning at state levels, I would like to ask Mr. Hughes if the intent of the federal legislation and planning for the states is to call for assistance upon those planning bodies that now exist in the states, rather than to set up competitive or duplicate planning bodies? And how do you see these mechanisms blending to achieve the goals? My concern is that in states like New York, we do not set up a competitive program, since there already exist strong planning agencies.

MR. HUGHES: The provision for the State Commissions, which are authorized by Section 1202 of the Education Amendment of 1972, and the mandate to develop statewide plans for post-secondary education do not necessarily call for a completely new structure, in the sense of not recognizing existing structures. An existing structure can be designated if it meets the new criteria in terms of representation. Since this is the case, it would be well for you to see that your relations with the State Commission are good, and, that you make your inputs to it, and that there are adequate representations of your interests in the planning activities of that Commission.

In terms of any funding ventures from the federal level, I think one area in which we have a new joint responsibility is to work with you directly in terms of the unfolding patterns of usage of the general revenue sharing funds. It appear to me that so far, there is an appalling lack of information about how these funds will be used. There are a lot of things on the horizon in terms of new funds and new definitions for use of funds that I think we very definitely need to discuss with you. One of the things we need to do soon is to have a federal-state meeting to discuss areas of collaboration regarding revenue sharing. I do not think we are interested in the creation of new planning structures per se at the state level, or any technique to bypass existing units.

MR. HUMPHRY: In terms of what Dr. Heyns mentioned about the development of this planning responsibility, will there be an opportunity in the early stages to identify research that ought to take place as these planning bodies emerge and begin to operate? For example, in terms of kinds of services which ought to be performed at larger than state levels, what are the responsibilities of individual institutions of higher education? What are the responsibilities of state and regional programs? What national programs can best be performed by a single agency?

MR. HUGHES: First of all I think that in terms of the national organizations, the Office of Education and the Bureau of Libraries and Learning Resources do have a responsibility to join with other federal agencies to coordinate federal approaches, federal funding and federal strategy. I think we can do this internally within the Education Division, with the new Fund for Innovation, and with the National Institute for Education. There is a very definite need to coordinate our efforts with the National Commission on Libraries and Information Science, as well as with the Library of Congress. In turning away from the narrow categorical funding which the budget will obviously do, we need to think about new strategies, new ways of relating to existing instrumentalities, and ways of putting together federal and state structures. That is a job that we can work together to do.

MR. HEYNS: I do not say that there is any formal mechanism for evaluating the consequences of the change from categorical funding to decentralized planning and funding. I think all of us are going to constitute ourselves as unofficial monitors of that process.

MR. MCDONALD: I do not mean to make a hostile statement here, but commenting in all innocence upon the most recent remark of John Hughes, I wonder whether in the thoughts about a National Library of Education, the Department of Health, Education and Welfare or the Office of Education has consulted with the Library of Congress? It would seem to me that if there is to be cooperation with the National Commission on Libraries and Information Science and the Library of Congress, a project of this scale should receive that kind of prior consideration.

MR. HUGHES: The idea of a National Library of Education is not much more than that right now. I was tossing out one thought of some of the ideas and concepts that might be pursued. That particular idea, I think, would be thoroughly explored with the Library of Congress, with the National Commission, and with other organizations, such as this one, in terms of its viability. As a matter of fact, I am simply encouraging the submission of ideas along that line that would be relevant and viable in terms of new structures.

We do need to think about ways in which services can be improved, and ways in which new federal structures should fit in logically, because there is certainly a turning away from fairly narrowly-based formula grants as an expression of national leadership.

CARL JACKSON (Indiana): It seems to me there are certain implications when we start talking about national libraries in terms of various subject areas. I understand there is an agency that is not here today that is identified as the National Library of the Interior. It seems to me that if we are going to get involved in this kind of agency, it ought to be structured with wider goals that are easier to justify.

MR. ROGERS (Yale): I listened with sympathy when Roger Heyns said we were all victims of promiscuous free enterprise. It is true that we think that we are a reflection of our universities, and if they are going to have a finger in every possible pie, we are in it too, like it or not, if we are given the funds to do so. As a man who has been a faculty member, a dean and a chancellor, Dr. Heyns, could you philosophize a little bit about whether or not there really is any chance that there will be less of this? Will there be a division of responsibility among universities in various fields? If so, how is this going to be brought about?

DR. HEYNS: First of all, the process is going to be enormously difficult, but there are some forces in society, in the legislatures and in federal government which suggest that we will be obliged as academic communities to define our institutional roles more carefully. This is implicit in what is sometimes out of ignorance, and often, in a kind of undifferentiated way, a concern about duplication, overlap, unnecessary resources, underused resources.

It seems to me that the obligation to justify expenditures does call for differentiation of function. The new legislation which asks us to think about other kinds of post-secondary education than the four-year liberal arts college and the large university means a committment to accepting differentiated roles.

We must respond to just that kind of social force, plus economic realities, and a generalized pressure toward planning, which is another way of saying, "Why don't you people get together about who is going to do what?" These are the forces to which we have to respond, and I think there is self interest in responding to them.

There is a need to make discriminations about allocation of resources, and there is not going to be any magic about it. There are no inventions that we have to seek, but rather hard decisions that we will have to be willing to make. Our current malaise is in part because we stand poised on the brink of that problem. We will feel a lot better when we jump.

JOHN BERTHEL (Johns Hopkins): When you mention a holding action, are you suggesting that this holding action may very easily result in a definite change in life-style that involves all of us? Do you see this as a long term holding action, or do you see it as something related to a particular administration?

DR. HEYNS: No, I do not see it as related to a particular administration. I think the holding action will last two to four years, but I think that the trajectory is going to change. There will be this holding action and then an augmentation, but probably not with the same dimension as we had before. That is as specific as I can get.

Maybe it is repetitive, but what I am suggesting is that the cumulative impact of all of the authorized programs, which are really my definition of the national goal, is now inescapable. Equally important is the impact of the expenditure limitation idea and the phenomonon of impounding which was imposed for the first time in the recent budget. Also of importance is the self-examination on the part of the Congress which wants to play a more effective role in defining the expenditure limitations and in defining priorities. Congress is not adequate to assess what the cumulative impact of its individual decisions are.

Now while theoretically this should lead to our re-examination about taxation, there is little evidence that this is taking place, or is likely to take place. Wilbur Mills, Chairman of the Committee on Ways and Means, announced that the Committee is not going to have a thorough re-examination of the tax structure. This is not to say that there will not be some tax discussions. Mr. Mills has announced hearings. Some of the items that the Committee is going to consider are important to us, like the impact of certain changes in the tax law on philanthropy, particularly as it bears on appreciated property, which is one of the main sources of private giving. But all of these are piecemeal. They have to do with loopholes and that sort of thing.

The fundamental question about whether or not we ought to have more money is not being faced. Most of the attention in Congress and in the administration has to do with the re-examination of goals, rather than increasing the expenditure level.

In my conversations with John Brademas, who is a member of the National Commission on Financing Post-Secondary Education, I said that I thought the first thing the Commission ought to do is to determine whether or not there is financial distress. And his response was "No, that's the wrong question. We first ought to set up stated goals of education, and then see the extent to which our resources are adequate for those goals." So the whole style here in Washington is really forcing this re-examination.

My theory involves a re-examination, with all of us doing our homework and participating vigorously in the reaffirmation and reordering of our priorities. This is going to lead inevitably to the belief that some of those goals are important, and some of them may have to be reduced. But in order to achieve the goals, we will have to increase the level of expenditure.

I think we are something like 30th or 35th in the extent to which we tax ourselves in the family of nations. I do not think you can get tax increases with the present uncertainty about the quality of all these programs. But the debate, I am predicting, will take at least two to four years. Then in a sense, the holding pattern will stop, but we will have a gradually ascending curve again with respect to these programs.

MR. STONE (New York University): Essentially, research libraries are ultimately in support of the educational programs of the schools of which they are a part. We have an unusual situation in New York State, where the implications are that by 1980 there will be 750,000 students above the sophomore level in the schools of the state. Eighty per cent of these students will be going to the city universities or state universities, where the tuition is either zero or close to zero, or small. Eighty per cent of the library collections in New York are in the private institutions, which are going broke. There is a possibility of a trade-off there. It seems to me that the educational programs are not going to develop tremendously without the real support that the libraries afford.

I have been pleading for a kind of joint planning. New York State is full of task forces, including one for graduate schools, one for libraries, one for this, one for that. And it seems to me the information transfer from one to the other is very meagre, and I think that same thing is reflected on the national level.

I think for example, that if the American Council on Education is going around in one circle, and the Association of Graduate Schools is going around in another circle, and the National Institute of Education is going around in another circle, and the National Commission for Libraries is going around in another circle, we have got the reduplication on the national level of what you have in New York State.

And it would seem to me that the analysis that Dr. Heyns has given is an excellent one for the reassessment of these things. I was wondering if it might be very sensible on the national level to have the American Council on Education and the National Commission and the Association of Graduate Schools and this new National Institute for Education and the people from the ARL get together in some kind of small committee and plan together. It seems to me that they are always planning separately, rather than coordinating their efforts.

DR. HEYNS: I accept that analysis, and I believe in that goal. Let me just describe some of the things that are currently going on and some of the principles on which we are operating.

The American Council on Education has historically had a coordinating role. However, in the system in which we have been operating in the past fifteen years, I think the coordinating mechanism has been inadequately developed. We are making substantial strides to improve that. The fact is the Council has not been organized adequately to serve the coordinating function. It has not been the accepted posture of the Council, and there has not been the clearly recognized need. Now we are trying through a number of coordinating mechanisms to increase the extent to which these agencies do work together to develop a common position where possible, and to identify clearly where it is not possible.

In other words, we are not trying to build a monolithic structure here. But one of the mechanisms for reducing the overlap and the duplication and the lack of information exchange and so on, is to quite deliberately create a concept of a chosen instrument that we will designate collectively. This instrument could be a certain group who would be responsible to the rest of the higher education community for the active pursuit of particular objectives, the development of a program, the provision of a service, or whatever. For example, four associations interested in collective bargaining have gotten together and gotten support for a project which would be based in the Association of American Colleges. This means that these four associations will serve the rest of the higher education community, and the community does not have to focus attention on aspects of collective bargaining, but rather has the task of monitoring the project to be sure that the needs of the community are served. The same thing is being developed in a number of other areas.

I do indeed believe that the library organizations ought to have the responsibility for the planning of national programs in this area, and should inform the American Council on Education and other agencies of the nature of those programs.

All I am saying is that the task that you are talking about, i.e. reducing duplication, improving coordination, and synthesizing our efforts, is a task that we accept. We are building the mechanisms to perform that task. I might remind you all that the American Council on Education right now consists of about ten professional people. That is not adequate to do the job. We need to develop, not a larger staff, but develop more mechanisms to handle the coordination task.

MR. STONE (New York University): The point is, it seems to me, that the emphasis in the U.S. Office of Education must be to broaden the base to include the upward bound, increased accessibility, and so on. But this particular group is concerned with the top of the cone: research libraries and so on. And we, to be sure, have got to work together, but what I want is for the graduate deans and the librarians to get together and work it out. We have a tremendous potential in that we have got the books and the books are going up in price, and the budgets are rising because of the library needs. And it seems to me that we should get some coordination from the ACE and the others.

DR. HEYNS: Well, there are mechanisms. Boyd Paige is a member of one of these coordinating activities. One of the defects has been that the primary coordinating mechanisms have not adequately involved the specialized groups, of which ARL is one.

MR. BRYANT (Harvard): Dr. Heyns' comments remind us that we have for several years had an ARL/ACE Joint Committee on University Library Management. I am sure I speak for the Association as a whole, and most certainly for those of us who have been on that Committee from the start, in saying that I would

hope that that Committee would be continued, and that its charge can be extensively broadened from this one of library management. I think this joint operation between the Council and ARL is manifestly important and could clearly be strengthened.

MR. BOSS (Tennessee): There seems to be a prevalent and popular myth in this country right now that $100 expended by personal choice for personal goals is better spent than $100 spent by public choice for public goals, is better spent than $100 spent by federal choice for federal goals. This is particularly unfortunate for research libraries like those represented here, which for the most part serve institutions that are regional or national in scope. Is it realistic to think that we might be able to reverse this trend of the popular myth, or at least seek an exception in the case of problems that are really national or regional in scope that require national or regional solutions?

MR. HEYNS: Yes.

MR. HUGHES: I would like to say "yes" also. I think it would be a mistake though, to assume that we have something representing a federal wisdom in terms of the ways in which existing categorical grants are distributed. The formula distribution of say, 100 million dollars of federal aid now goes out in ways that really do not represent any national wisdom regarding where the needs are, or where resources might best be put.

It seems to me that what we need to come up with is some strategy that does stress needs and resources, and can put those two in a better relationship. I think the opportunity to do that is present. I think that we are moving away from a fairly constricted approach in terms of a categorical type of assistance, assuming that that represents some national expression of the popular will and the national need.

MR. MCNIFF (Boston Public): Following up on that, and while we are in this holding period and carrying out this re-examination of goals and so forth, we see the categorical branch being eliminated, and being transferred into this revenue sharing program on the state and local level. While libraries have been identified as a priority within this program, there is no assurance that they will be given priority within this program. Indeed, it appears that libraries are not going to be getting any support, or will get relatively little support from revenue sharing operations. Is there any way in which the Office of Education can assist in making certain that the library components at the state and regional levels will be given a fair share of the money from the revenue sharing program?

MR. HUGHES: I do not think there is any way we can make certain that that happens, but I think there are ways in which we can help it come about. In my own inquiry into this, I found that there is an appalling lack of information among the state library people as to how the revenue sharing is going to be distributed, and what is the rationale for participation. I think likewise, there has been an absence of dissemination at the federal

level about the same problem. I think we do need to join forces with the state people, and with the local and other groups in terms of figuring out strategies for more participation in these things. There are substantial funds. They are going to increase. The definitions for their use are now very vague. I agree with you that there is an opportunity there that should be seized.

DR. HEYNES: I do not want to get into the position of appearing to endorse the federal strategy. It is not my role here. I do believe that the revenue sharing business is promiscuous, and I do believe that it is responsive to a kind of a public belief that there is a concentration of power and responsibility in the federal government, and that the government is too big. In that sense, revenue sharing is a politically sensitive move. It may even be responsive to some statements that we ourselves have made in the past on the subject of too much federal dictation by categorical allocation. So I think we have to recognize some ambivalence on our part on this subject.

But I think right now the target is to improve the federal monitoring of what is being done with the proceeds that now go to the states. There is a need to put pressure on the institutions in the states to influence the way that the surpluses are being used. I mean, if Governor Reagan sits there with 700 million dollars surplus and decides that it ought to go to property tax relief, that is a local decision. It is a decision that people in California have to participate in. It seems to me pressure at the state level is probably a more effective avenue of determining the consequences of revenue sharing than the mechanism of national review.

MR. MCDONALD: Is there an established way in which revenue sharing decisions are made? You say that Governor Reagan in California will be deciding whether to use funds for local tax relief. In Connecticut questions are being raised about whether Governor Meskill should be the person to decide how the funds will be used, and whether Connecticut's share is to be used as he sees fit, or whether this should be a legislative function, since really it is the state legislators as well as the federal legislators who decide how funds are allocated.

DR. HEYNS: This is precisely my point. I think that there is a great deal of latitude regarding the use of funds. This has really not been specified with any kind of detail, and there are lots of options. This is a political business in the states, and this is why I emphasize that you are in that game.

MR. HAAS (Columbia): The last issue of the Chronicle of Higher Education highlighted the debate going on in Massachusetts between public and private education. I would like both of our speakers to reflect a little bit on the effect this change in national strategy will have on the relationship between the private and the public sectors in higher education.

DR. HEYNS: I think that the national interest in passing legislation, like the 1202 legislation, had its origin in decisions regarding problems of that sort.

There is a great deal of Congressional interest in improving the quality of state planning. And I think that this interest led to 1202 legislation which puts pressure from society as a whole on the educational community to engage in planning which deals among other things with the private-public problem.

It seems to me that in that particular instance, some things that happened are inexcusable from the standpoint of the social interest, and the political and the educational interest of the nation. There had to be a better accommodation between public and private education. I believe that as a result of these planning commissions, the state of private education is going to be improved.

MR. HUGHES: On the funded student assistance, I think that the federal legislation and federal funding will in effect put more funds into the hands of students for individual choices in terms of education. It certainly presents the opportunity for those students to select private institutions. Whether that happens in any significant way is something we can not yet say. I think that the opportunity is certainly there in terms of that type of political decision to encourage that type of funding, and to permit the individual decision to be made by the student, as opposed to the public funds going through public sources, which in effect would make that choice for him in terms of the support of the public sector. There is at least the opportunity for increased participation in the private institutions, and recognition, for example, of new forms of post-secondary education. Proprietary types of education are another form of that concept.

DR. HEYNS: May I just say, John, that I think that that part of legislation that you referred to is going to help to some extent with respect to the public-private business, but not a whole lot. As a matter of fact, I think this accommodation is going to happen more in terms of the allocation of roles, contractual relationships between the states and private institutions, and the specialization of function. This is more likely to happen as a result of planned expenditures by public sources. And I think there are going to be models worked out to help private institutions, so long as they actively participate in the planning process.

MR. HERON (Kansas): Dr. Heyns, do you see in this process any unwarranted defensiveness on the part of the higher education establishment, which may delay the augmentation which you referred to?

DR. HEYNS: I can see some impediments to our full participation in that re-examination, yes. For one thing, we are tired. And for another, we feel aggrieved that anybody should challenge this noble task in which we are engaged. We have got to get over that and plunge in vigorously to have debate and discussion, and prove our argument. Higher education has to face the fact that we are not like preachers in a congregation; we are people who are speaking to a parade. And the people go by us, and they are different people to whom we have to address these things. Merely because

we have been saying the same things for forty years, does not mean that the current audience is with us. As a matter of fact, it is not with us.

I find it awkward to tell people who have been thoughtful about what they are doing, and have devoted their lives to these enterprises, that they have got to re-think their objectives. It sounds like I am joining the rest in saying that maybe their objectives are not so valid. But the fact is, the American Council on Education does have to encourage and stimulate institutions to re-examine their own goals in terms of their present resources. This is one of the things we have to do.

MR. MADSEN (Utah): In the state of Utah four years ago, our state government established a Board of Higher Education. They have done an effective job of resting on their laurels, and we just feel that maybe we have to do something. We can not wait for the state agency, or even the national agency, to do the funding. So a year ago we established a Utah Library Council. We met once a month. We did not just talk; we were trying to do something. We set up a reciprocal borrowing privilege system, so that students from every institution in the state, including the two private colleges, can borrow a book from any university library in the state. This has forced the registrars of the various institutions to meet with us, because we put pressure on them. The presidents had to be involved, because they began hearing from the registrars. We now have the computer people getting involved because our systems people are working on a statewide computer system. I just think we can place pressure from beneath this way, so that state agencies and national agencies do get involved with us.

MR. MCDONALD: I think that is a most interesting statement. I believe that in conversations that representatives of ARL and other library organizations have had with people in the federal government, we have tried to maintain that we are not wedded to the programs that now exist in our libraries, but we would hate to see these programs dismantled without something directed in their place. It seems to me that interlibrary cooperation might be the watchword. It is on this sort of thing that we could build. A part of this, of course, is the national effort. A part of it could be cooperative efforts within the states, which might conceivably qualify for assistance through revenue sharing.

MR. KIDMAN (University of Southern Calif.): Some states have constitutions which are restrictive in terms of aiding private education. I would be glad to get any information on this. In sharing federal funds with the state system, the state law prevails, which means that access to federal funds could then be cut off in some categories. Is this being thought about as a problem, because there is a great variety among state constitutions?

MR. HUGHES: One of the aims of revenue sharing is to make available federal funds to states who will then decide how these funds are to be used. In other words, the availability of funds might be limited in given cases, and in other cases the availability might be increased. You are right that the

rationale for the distribution of funds at the state level is consistent with state laws. The regulations and other criteria that will accompany revenue sharing are something that are subject to public hearing. There are processes involved there that probably you should be aware of and participate in.

MR. POWELL (Duke): Mr. Hughes mentioned innovative programs. Let us assume that there will be less federal money, and that it will be a long time before we have a change in the teaching of certain programs. Let us also assume we think our research library programs are sound, although we do not have enough money to support them. Should the librarians over the country suggest innovative programs, or will these innovative programs be suggested for us?

MR. HUGHES: I would say definitely the former. The ways in which funds might be most innovatively used, and the ways in which research might most effectively be designed is a problem that will be put to you. The kind of priorities that you will see coming out of the federal offices will be more designed to target funds toward the researching of unserved populations. Important here are design proposals that will address new delivery systems to meet new clientele, and new structures, such as consortia, which will make a more effective use of existing resources.

Libraries are a good example of the exclusivity of some of the resources that are needed more broadly. Those proposals will be favorably received that offer suggestions of ways in which existing collections and resources might be more effectively used by a wider spectrum of institutions. Furthermore, it would be the responsibility and desire of our office to cooperate with you and with the ARL in designing those kinds of products. Unfortunately, there are all too few examples of what these consortia and services might be, but I think that is part of our job.

MR. KURTH (Washington University): I would like to speak for a moment about the problem of the private university. There is a certain danger resulting from the de-emphasis of national needs. I would like to suggest that the private university is, in a sense, at a disadvantage. With the change in the decision-making on funding, this funding, by peculiarity of the state constitution or by the nature of the state university system, may result in a diversion away from private universities of funds now going to these universities. I wonder if our two speakers know what steps might be taken, and what the role of the private university might be to cope with the national need, despite the probable difficulty that I have outlined.

MR. HUGHES: I think that both Dr. Heyns and I have suggested the 1202 Commissions. I think that they would be the most immediate sources that you might go to in terms of solving the dilemma. One of the things we will look at is the question of whether or not, in the creation and operation of these Commissions, they do indeed meet the criteria of being broadly representative of both public and private education.

DR. HEYNS: I am not sure that I really understood precisely what it was that was troubling you and the previous speaker as well. My reading of the trends with respect to state behavior in the use of public funds is that the states have relaxed enormously in the extent to which they have made public funds available to private institutions in one form or another. The most notable area is, of course, the extension of assistance programs to students in private institutions. I think that the target here is really the state law, and where the law interferes with the use of public funds for private institutions, the law ought to be very carefully re-examined.

I am not suggesting that public institutions are not apprehensive about this trend. I believe that there is a clear recognition among the people I talk to in public institutions, that private institutions are an enormous resource to the country, and that our task really is not to invigorate a public-private fight. Rather, we should strive to increase the effectiveness with which these two entities coordinate efforts. There is a real recognition that the whole system calls for both entities, and that we have to increase the size of the pie rather than fight about its current size. We can do that with more effective interaction. I know that there are things that can happen to exaggerate the conflict between public and private, but most of the forces are in the opposite direction.

MR. MCDONALD: I would like to comment from the perspective of one who is involved in a statewide planning effort of the type alluded to here. In Connecticut, the planning team is made up of people from both the public and private institutions. While the state does not have any very firm system at the moment for assisting private institutions, such a law has recently been passed. A curious opposite concern to the one that has been expressed has emerged from the public sector. If much of the effort of planning is to share programs, the constraints are most likely to hit the public, rather than the private institutions. Nobody can forbid private institutions from having a particular program, and if anybody is to yield, it will be the public institution because it is subject to more direct control. I do not know how seriously to take this argument. I do not really mean to offer it as a kind of comfort to you, but it is at any rate an attitude that has been expressed in our state.

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Ladies and gentlemen, I am going to bring to a close this morning's program. We are very grateful to our speakers for all that they have shared with us this morning. I am grateful also to the Federal Relations Committee, and to all of you for your comments and questions during this very important session.

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BUSINESS MEETING

Election of New Board Members

MR. MCDONALD (Connecticut): The first order of business this afternoon is the election of Board members. Because of the unfortunate death of Arthur McAnally, we have an additional position on the Board to fill. William Budington, Chairman of the Nominating Committee, will present this report.

MR. BUDINGTON (John Crerar): I believe all of you have in your hand the two slates which we, the Nominating Committee, are proud to present. The first slate is for a regular election of members to the Board for a three-year term. Candidates for election to the Board are: Hugh Atkinson, Ohio State University; Richard De Gennaro, University of Pennsylvania; Stanley McElderry, University of Chicago; John McGowan, Northwestern University; and Virginia Whitney, Rutgers University.

The three candidates for election to a one-year term on the Board are: Richard Dougherty, University of California, Berkeley; Arthur Hamlin, Temple University; and James Jones, Case Western Reserve University. Mr. President, these are the announced candidates. I will turn the meeting over to you for the procedure.

MR. MCDONALD: May I remind the membership that it is one library, one vote, and those of you who brought more than one representative are still permitted to vote only once.

> [Tellers selected for the election were Louis Martin and Ellsworth Mason. After a short interval, Mr. McDonald announced the results of the election.]

MR. MCDONALD: Arthur Hamlin of Temple University has been chosen to complete the unexpired term of Arthur McAnally. Elected for three-year terms on the Board are Richard De Gennaro, Stanley McElderry and Virginia Whitney.

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Report of the Statistics Committee

MR. BOWMAN (Rochester): In presenting the Statistics Committee Report, it seems to us that after two years of being called an Ad Hoc Committee on Statistics, we have learned one thing: we are not a committee on statistics at all. Rather, we are a group involved in developing a sort of pragmatic approach to find ways to collect data relevant to the medians for the statistical categories used in determining eligibility for ARL membership.

We have done this, and presented in Atlanta our recommendations, which involved the definition of periodicals and a technique for reporting on fields in which PhD's are offered in member institutions. The Committee subsequently has met and looked at reports from the field about these concerns and has listened to a number of observations by the membership. Our findings to date, as indicated in our Committee report, are that in recognizing the difficulty with the definition of periodicals, file organization, and general handling of publications that appear serially, the Committee still advocates continuing to use the UNESCO definition of periodicals.

There have not been many reactions regarding this, other than three or four letters. The same is true for the HEGIS Report. For the time being, we see no better alternative to our present criteria anomalous as some of the results are, e.g. large institutions reporting a smaller number of PhD fields than smaller institutions, and so on.

The Committee took into consideration a couple of other items. One involved the injunction of the Membership Committee regarding the requirements for publication of criteria for membership in ARL. The Committee thinks those requirements for publication have been met by publication of the criteria in the ARL Newsletter. ARL members have been invited to submit the names of institutions who may qualify for membership, and of course the ARL headquarters office is responding to inquiries regarding this.

The Committee also reviewed possible changes in format. We think that there is a good deal of data presented in a readable form. Pending a lot more work and further consideration, the Committee recommends that there be no change in the format. [The report of the Ad Hoc Committee on Statistics, and the Criteria for Admission to Membership appear in these Minutes as Appendices G and B.]

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Discussion:

MR. MCDONALD: Before we discuss the question of the statistics, Mr. Bowman advised the Board there was an inescapable relationship between the statistics and the criteria for membership, and recommended that a standing committee be established to deal with the revision of membership criteria as necessary. You will recall that the report of the Membership Committee called for a review of the criteria at least every two years. I think it would be helpful now to hear from the membership if there are problems in dealing with the new criteria.

MR. MILCZEWSKI (Washington): Could we have more of the statistics put in rank order?

MR. MCCARTHY: The tables we are now ordering are those suggested to us several years ago. Up to now we have limited ourselves to them. Given the number of ARL institutions, it really is not much of a job, and I see no reason why we could not do it for all. I will make a note to that effect.

MR. POWELL (Duke): There was some inconsistency this past year in reporting periodicals. Is it the plan now to count periodicals and serials together?

MR. MCDONALD: Ben Bowman's report suggests that to achieve consistency we should all use the UNESCO definition. I would rely upon Ben Bowman to quote the definition for you.

MR. BOWMAN (Rochester): We have the text of the definition here. It is a very general one. I am reading from the Instruction Sheet that went out with the request to report your statistics.

> Periodicals: Publications constituting one issue in a continuous series under the same title published at regular or irregular intervals, over an indefinite period, individual issues in the series being numbered consecutively or each issue being dated. Newspapers as well as publications appearing annually or less frequently are included in the definition.

That means that a periodical is a sometime thing. All that is excluded is what is to be completed, as near as I can tell.

The Committee tried to be pragmatic about this. In order to get median figures for the new membership criteria, we intended for you to continue to use the footnotes. The number of footnotes did increase since last year's compilation. We do not know exactly why. At the moment, use of footnotes is the only handle we have on the variations of practice among member institutions. Obviously there is a lot more work that the Committee, as it is presently constituted, could do in regard to developing better working definitions. In addition, there is a lot of work to be done in analyzing the use of statistics as meaningful evaluations of performance.

Our present reporting procedures are interim measures. I would hesitate to urge anyone to do any more than use the footnotes at this time.

MR. MCDONALD: I think the importance of our efforts in statistics lies in the potential for changing membership. I do not say increasing membership, because the membership criteria might operate to reduce the membership, rather than to enlarge it. In this regard, I believe Dr. McCarthy is prepared to comment on the possible effect of the new criteria upon the membership.

MR. MCCARTHY: In using the term "periodical," we are trying to stay consistent with the UNESCO definition. Maybe that is not wise, but that was the reason for doing it. We realized that it might present difficulty, and therefore we made a special note of including the full definition in the Instructions.

I think it is apparent from examining the published statistics that there was wide variation in the interpretation of that definition. When we get reports from two sizable libraries indicating that one has between 15,000 and 20,000 periodicals, and the other has in the neighborhood of 100,000, it is clear that the two libraries are not interpreting the definition in the same way.

With respect to the application of the new criteria to potential members, I would observe that we have had a communication from three potential members within the past month. In two instances the criterion which proves the stumbling block for these potential members is the number of PhD degrees awarded. In all other respects they meet quite adequately the criteria. The third institution is not deficient in number of PhD degrees, but is deficient in size of collection and funds for the development of the collection.

Over the past two or three years we have had communications from some 15 to 20 institution representatives suggesting that these institutions were potential ARL members. Within the past several weeks we have corresponded again with each of these institutions. They have all received a copy of the new criteria with a letter inviting them to apply the data for their libraries to these criteria and advise us of the outcome. We feel it is necessary to build up information on how these criteria work or do not work, so that when we come to consider possible revision of the criteria, we will have some guidelines as to how and where they might be changed.

You may have noted in the ARL Newsletter, which also contained a copy of these criteria, the invitation to present members to communicate with us about institutions that in their judgment might be considered potential members. We have had a few suggestions so far. If there are others, we would be glad to have them. We will send suggested candidates information regarding criteria for membership.

As long as we are discussing membership at this point, I might remind you that there was a second aspect of the report of the Membership Committee a year ago. This had to do with maintenance of membership by present members. We were instructed to apply the specified criteria in specified percentages to existing members, to inform the Board of the outcome, and then to communicate with institutions which might be deficient in one or another category. We have not taken the last step: we have not communicated with the individual libraries, but expect to do so in the course of the next week or two. I may note that of the total membership, only seven institutions are involved here. These institutions will receive a communication in

keeping with the instructions of the Membership Committee.

MR. MCDONALD: The Board will consider further the recommendation that the Association have a Committee on Statistics and Membership.

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Report of the Interlibrary Loan Committee

MR. MCDONALD: We now turn to the next item on the agenda. The Association has underway two studies which are related. Both are being funded by the National Science Foundation. Each has an advisory committee. For the report of the first of these studies, I would like to turn now to David Heron for the new Interlibrary Loan Committee.

MR. HERON (Kansas): The Association has, during the past three years, taken an increasing interest in interlibrary loan networks. This interest has, as you know, been constructively manifested in a major study of interlibrary loan costs completed late in 1971, and more recently in three sequel studies undertaken with a $200,000 grant from the National Science Foundation. Dr. McCarthy is the Project Director for the NSF studies.

The studies explore the prospect of rationalizing the interlibrary loan process in terms of redistributing its cost, centralizing periodical resources, and of improving the means of communication available to us. Vernon Palmour of Westat, Inc. is principal investigator for the first two of these three studies, which began early last month under the supervision of Dr. McCarthy, with the advice of the Interlibrary Loan Committee. The Committee is composed of Louis Martin, Stanley McElderry, Gordon Williams, Joseph Jeffs and myself. Arthur McAnally, who was chairman of the earlier advisory committee for the cost study, was to have been a member. At its first meeting on December 11, the new Committee had the benefit of his prompt written response to our request for advice. This response was dictated shortly before his untimely death.

The third part of the NSF Study will be reported to you by David Weber.

At the December 11 meeting, the Committee amended and approved the Westat plan for its two studies. I will now read the description of these two studies:

> 1. An investigation of means to establish the present interlibrary loan system on a sounder basis through a more equitable method of finance. The study will include the mechanics and implications of a suitable fee system. Recommendations will be made which, if adopted and implemented, would result in immediate improvements, both in terms of the distribution of the load and in

terms of the effectiveness of the system.

2. A feasibility study of a national periodicals resource center as a method of improving the interlibrary loan system. The center would provide long-range improvements in the system. Investigation will provide data which will help policy makers decide whether or not to proceed with a national periodical center.

At the December 11 meeting Mr. Palmour described preliminary consultations he has had with representatives of academic and national libraries, and plans for obtaining expressions of opinion from a variety of libraries, including a number of ARL members. At the Committee's suggestion, some of the data gathered for the cost study will be re-examined to clarify traffic patterns in the present interlibrary loan system. There was useful discussion of the experience of the Center for Research Libraries and its plans for use of a Carnegie grant the Center recently received. The funds will be used in developing viable relationships with both the British National Lending Library and the Ohio College Library Center.

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Report of the Advisory Committee to Study the Feasibility of an Electronic Distributive Network for Interlibrary Loans

MR. MCDONALD: David Weber will now present the report of the Advisory Committee to Study the Feasibility of an Electronic Distributive Network for Interlibrary Loans. The firm of Becker & Hayes has undertaken Phase II of this interlibrary loan study.

MR. WEBER: The problems of interlibrary loans have been of concern to the Commission on Access to Resources dating back to its origin, when Rutherford Rogers was with us. There has been considerable hope that interlibrary loans could be facilitated. We wanted to move on from the Westat study to actual operation and improvements.

About a year ago Robert Hayes of Becker & Hayes came to ARL with a proposal which was studied during the late Winter and Spring. This proposal was part of the NSF grant which came to ARL.

Members of the advisory committee for the study include Richard Chapin, David Heron, Jay Lucker, Vern Pings and myself. Acting as liaison agent with the National Commission is Leslie Dunlap; ovserver is Vernon Palmour; representative of the Library of Congress is Edward d'Alessandro, and the contractor is Becker & Hayes, with Dr. Hayes in charge of this study. The contract is to ARL with Dr. McCarthy as principal investigator. After the

advisory committee was set up, a meeting was held in Washington. Dr. Hayes, Dr. McCarthy, Dake Gull, David Heron and others met to review the preliminary set of specifications.

I would like to read for you two pages from these specifications that, in their revised state, are dated January 1, 1973:

FUNCTIONAL SPECIFICATION

The operation of the present system or of either a fee system or a system of lending libraries would be greatly enhanced if there existed a computer-based communication network available to and used by the participating libraries. It would facilitate the communication of inter-library loan requests and related messages, monitor the traffic in order to produce statistical reports and centralized clearing-house accounting for fees, and provide means for referral of requests to bibliographical centers. The availability of several national distributive networks using on-line, time-shared computers--commercial, academic and governmental--makes it feasible to use one of them as the basis of such a system. In order to visualize how it would function, the following is a model of a System for Inter-library Communication (SILC).

CONCEPT

SILC will permit users to submit requests by teletype terminal to the SILC system at any time. The computer network will then process and store the requests and forward them to the lending libraries designated by the borrowers. Lending libraries will receive their requests and send their responses to the computer network by teletype terminal. SILC will transfer the responses to borrowing libraries and maintain all statistical and accounting records automatically.

SILC will use the hardware and some of the software of an existing national time-sharing system (TSS). SILC, therefore, will not have to invest in either computer hardware or system software, although development of application programs will be required.

In addition to facilitating communication of inter-library loan requests among ARL libraries, the system can provide the following features:

(1) Automatic logging and analysis of traffic and loads.

(2) Automatic accounting and billing routines, utilizing the system summary log. Each participant would receive at stated intervals one accounting report and/or billing. The billing could cover any service fees and any additional charges such as a net borrowing fee or net lending credit, copying fees for providing electrostatic copies, and reference fees for bibliographic center referral.

(3) Addition of libraries either by referral through a designated library or through controlled reference points in regional networks.

(4) Automatic checking of bibliographic completeness and validity and sorting by main entry.

(5) Automatic referrals of incomplete requests to state, regional, or national bibliographic centers. Requests would be routed by SILC according to pre-defined priorities.

The preliminary specification includes a schematic of how the system might operate, the management organization needed to direct such an effort, and a time schedule.

What is now funded through this contract is only the feasibility study.

This is the first stage, and this particular advisory committee, perhaps the Commission on Access to Resources, and the ARL Board will carefully review the results to assess if ARL should continue the project. Dr. Hayes has projected the study will be completed by the end of 1973, staying within a month or two of the schedule. The preliminary specification was out January 1, 1973. March 1, 1973 the informal proposals were to be received from alternative time-sharing systems. Dr. Hayes has informed me that on January 5 he sent copies of the specifications and requests to each of the time-sharing systems and to each of the consortia which were identified on the list considered by the advisory committee at the meeting in December. By August 1, 1973 the demonstration of basic SILC [System for Inter-library Communication] functions is to be completed. By November 1, the feasibility phase is to be completed. If the project were then continued without interruption, formal specifications and requests for proposal would then be submitted to potential time-sharing contractors. The proposals would be received and evaluated, a pilot study conducted, a contract awarded, the pilot study evaluated, and implementation of the full scale system begun. The system would then be in operation in 1975.

Since the next meeting of the advisory committee is Monday afternoon, I think that is the end of our first report.

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Discussion:

MR. SPAULDING (Council on Library Resources): What is meant a little more precisely by "demonstrations of basic SILC?"

MR. WEBER: I believe this would invclve receiving requests, routing them as they may be directed by the initiator, perhaps delaying them if the recipient teletype is busy at the moment, validity checking for completeness, monitoring the statistics both in and out, returning the query. It would be possible, if there were a date due, for the system automatically to go back, see if it had been discharged, and if not, send a claim notice automatically.

MR. SPAULDING: Would it be simulated, or an actual operation through a computer network?

MR. WEBER: During the feasibility, I am sure it would be only simulated. Dr. Hayes will be here Monday to verify this.

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Report of the Committee on Role and Objectives

MR. MCDONALD: This morning one of the things that Roger Heyns said caught my ear. It was that all sorts of organizations needed to pay attention to their objectives in the light of the re-evaluation of priorities that is going on, and will continue to go on for some time to come. It was comforting to know that the Association of Research Libraries had anticipated this advice from Dr. Heyns. Here to tell you about the progress we have made to date is the Chairman of the ARL Committee on Role & Objectives, Roy Kidman.

MR. KIDMAN (Southern California): A year ago at the ARL meeting, Robert Vosper exhorted us to come up with some sort of statement about the Association's responsibility with regard to a national plan. At the same meeting we had a paper on ARL written by Neal Harlow and a report from Carl Jackson's Committee on the Second Conference for Federal Information Resources. The ARL Board requested that the chairman of the Commission on External Affairs look at these three items and access their implication for current ARL programs.

I have talked to Messrs. Vosper, Harlow and Jackson about this. In a meeting in September with the other Commissioners and the Executive Committee, we discussed some of the issues that had been raised. It soon became very

clear that we were not prepared to move forward without taking a more basic look at the Association's objectives.

At that time we formed a committee which consists of the Executive Committee, and the chairmen of each of the Commissions. We decided that we would see if we could pursue some of these efforts that members of the Association have undertaken in trying to state objectives. Further, we decided that we would try to do this ourselves, rather than seek outside help. Some of the members had been through the American Management Association Long Range Planning Program. We thought we might take advantage of their experience, and also some of our own experience in the Management Office of the ARL.

On December 5 and 6 this group met. The statement of ARL mission that has been distributed is a very condensed version of the nature of the discussion during those two days of meetings. Although we ran out of time, this document does give you some notion of the thinking of that Committee regarding the problems, the mission of research libraries, the mission of ARL, and the overall objectives of ARL. [The statement referred to here is included as Appendix H of these Minutes]. This is an interim report. We hope to have this job completed before the May meeting, so that we can have the final report from this Committee in your hands. We will be prepared to have discussion at that time, and hopefully, will be able to present statements for adoption, if they meet with your approval.

I have one other purpose in presenting this statement now. I know that some of you have been going through this sort of exercise for your own universities and libraries. If you would be willing to send me any of your efforts and ideas about this, I would be most grateful and would consider them very carefully.

MR. MCDONALD: I hope that those who have picked up copies of this report and read it will feel free to offer comments now or later. We certainly are aware that more needs to be done. I know that Mr. Budington, in thinking towards the plans for our May meeting in New Orleans, has this matter of ARL role and objectives very much in mind.

MR. BOSS (Tennessee): I notice that the Statement of Mission is identified as "To serve and provide access to recorded information needed by researchers." Is it the group's intention only to address itself to a part of the responsibilities of the institutions represented here, talking only about the research components of these libraries? Or has the group perhaps overlooked the fact that almost all of us have responsibilities not only to researchers, but also to students and teachers not engaged in research? I think that if it is the former, it should be stated that this is only part of the thrust of the institution.

MR. MCDONALD: Your point is well taken. Some Commissioner or member of this Committee may wish to answer that question. I myself am pretty well

aware of the considerable discussion about the use of that word "researchers." There was a lengthy search for something more appropriate, which ultimately was abandoned in the interest of getting on with it. It is, I think, this kind of question that Roy Kidman would like to have, so that as we refine this document, we can use language which is more universally acceptable.

I would tell the membership that in preparation for this conference, Duane Webster, who served as staff for it, did his usual conscientious job of producing preliminary papers and ideas. I think our work is not done. I hope the product will be worthy of the effort.

I would like to say that the Report from the Library of Congress is available to you on the table at the rear. We have in the past usually had reports from the National Agricultural Library and the National Library of Medicine. Dr. McCarthy has a copy of the Report from the National Library of Medicine, and that will be duplicated and distributed later. We have no report from the National Agricultural Library at this time. [The Reports of the Library of Congress and the National Library of Medicine are included in these Minutes as Appendices J & K].

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Association Finances

MR. MCDONALD: It is clear to the Board that the Association is operating at a deficit at the present time, and that that position will further deteriorate as time passes. In part this is a result of the fact that we are doing more things. The recent reorganization of the Association, and the establishment of the commission structure has produced a heavier load for the ARL office. You have heard something about studies now going on within ARL. I think these are an indication of the scale of the Association's activities and of the work that is derived from such efforts. In discussions with the Board, it seemed to me that the time was near when this Association would need more revenue.

I feel that before leaving office, I would like to bring to the attention of the Association the desirability of increasing dues next year. In bringing this matter to your attention now, it is my hope that we will have a number of months between now and May to consider this, so that we can take action at the May meeting to increase dues, and that that increase would then be effective in January of 1974.

If the Association agrees to do this, I think that several desirable things will result. One, an additional position at the ARL office can be created. That position can be shared between the ARL Office and the ARL Office for University Library Management Studies. Indeed, I think we have a commitment to the Council on Library Resources to provide this kind of support to the Office of Management Studies. In securing continued funding

for the Office we indicated to the Council, that we would try to devote to this effort more of the substance of the Association itself. We last increased dues in 1967.

Five years of operation at the present scale and during a time of rising costs is not too bad a performance.

I know what is in your minds. We all are feeling a pinch in one way or another, and the prospect of yet another place to spend some of our resources is not entirely welcome, but I bring this matter to the attention of the Association now, and hope that you will comment on it at the present moment, but more importantly, think about this between now and the May meeting. Be prepared to express a judgment by vote on it at that time. Dr. McCarthy, perhaps you can supply some facts and figures that would help the membership.

MR. MCCARTHY: We do have the unaudited financial figures for the year 1972. Our fiscal year is the calendar year. Our experience in 1972 is that we encountered an overdraft of $12,000. This, I am pleased to say, can be covered from the reserve, but nevertheless we are in that deficit situation.

As you know, our budget is made up of three parts: the principal source of income is the dues of the members; the second source of income, from sales, royalties and interest, amounts roughly to 10 per cent of our budget; the third source of income is the overhead on grants, contracts and that type of activity. That has been running about 15 per cent.

So 75 percent of the budget is membership dues. You are all aware that the third item I mentioned, the overhead on projects and grants, is soft money. This has been running in the range of $30,000 per year. There is no assurance that it will be continued at this level. The prospects for its increasing do not seem promising.

The budget estimates projected for 1973, if income stays at the level of 1972, and with expenses increasing, would show an overdraft of $37,000. We certainly hope that this will not be realized. We hope that income will increase and that expenses can be held down, and that a year from now we can report that the overdraft was significantly less than $37,000.

Projecting ahead, if the Office is to undertake additional or increased activities, we must have greater financial support. I think you would gather from discussions this morning, that at least the two speakers here present seem to think that a good deal more activity is called for. It is for this reason that this matter is being brought up now for your consideration, with the vote to be taken in May.

MR. KELLAM (Georgia): How much of an increase were you thinking about?

MR. MCDONALD: My specific proposal to the Association is that the dues be increased from $1,500 annually, to $2,000 annually, effective January 1974.

MR. KELLAM: Would that give enough for the amount needed?

MR. MCDONALD: There are some imponderables in this. One is the effect of the new membership criteria on the size of the Association. We do believe that there are some institutions on the threshold, so to speak, and this would result in some increase in revenues. We calculate that this amount would serve us for some time to come. We cannot really put a fix on that terminal date. There was considerable discussion among Board members of whether a series of smaller increases over time would be more practical, rather than a single increase that would presumably serve for some period of time. The 1967 dues increase has served for five or six years to the present moment, and will have served seven years by the time a new dues structure could be approved. The view that the larger increase was preferable prevailed. Therefore, that is the proposal that we bring to you today. This is a matter for information, not for action, and we thank you for your attention.

MR. MCDONALD: Ladies and gentlemen, we are at that point in the program where we hear reports from our Commissions. I would like to call first upon Douglas Bryant, Chairman of the Commission on Development of Resources.

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Report of Commission on Development of Resources

MR. BRYANT (Harvard): You may recall that the Commission on Development of Resources has several committees within its cognizance. I refer briefly to the current status of the work of several of these committees.

The Foreign Newspaper Microfilm Committee, as a result of the Shaffer study of foreign newspaper microfilming and the cooperation of the Library of Congress, is pleased to announce that several months ago John Cole was appointed Coordinator of Foreign Newspaper Microfilming in the Library of Congress. Mr. Cole is working very closely with the Committee and with the Center for Research Libraries.

With respect to the Preservation Committee, I would report that James Henderson of the New York Public Library is the new chairman. This Committee, which met yesterday afternoon, is working very closely with Frazer Poole and his colleagues in the magnificent preservation laboratories at the Library of Congress. The Committee is now actively concerned with studying the Haas report of last February with respect to the possibility of implementing the very extensive recommendations of that report.

The Commission recommended at the Atlanta meeting that the Association appoint a committee to have responsibility for Association interest in computer-based data banks. I can report to you that this Committee has now been formed under the chairmanship of Gustave Harrer, and will be the responsibility of the Commission on Access to Resources, under the chairmanship of Edward Lathem.

In May of 1972 the report was issued on the determination of the administrative and functional characteristics of a national microform agency. This report was prepared by Edward Miller, and was referred last September by the Board to Commission #1, the Commission on Development of Resources. The Board has now asked Louis Martin to discuss possible ARL implications of the Miller report with Carl Spaulding of the Council on Library Resources. Carl Spaulding is chairman of the National Microfilm Association Liaison Committee with Libraries.

Finally, I will report on the work of the Western European Subcommittee of the Committee on Foreign Acquisitions. The Western European Subcommittee has been reformed to some extent under the chairmanship of Howard Sullivan. (Mr. Sullivan is also a representative on the ARL Committee on National Program for Acquisitions and Cataloging which has recently been formed under the chairmanship of Frederick Wagman. The Wagman Committee is a replacement for the old Shared Cataloging Committee, and has a considerably broader mandate, particularly with respect to the collection building aspects of NPAC). It is the hope of the Commission that the Western European Subcommittee, with this overlapping relationship to NPAC, will study the feasibility of creating some kind of monitoring system for coverage of Western European materials by American research libraries. The Subcommittee has been at work on this for some months. I believe it is quite safe to say that at the time of the New Orleans meeting in May, we will have a much firmer report to give you with respect to the future monitoring of Western European coverage by the members of the Association.

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Report of the Commission on Organization of Resources

MR. KASER (Cornell): This report can be very brief. As you will recall, this Commission inherited no committees from the previous administration, with the exception of the Committee on Shared Cataloging. We now have two committees which are responsible to this Commission, both of which have been only very recently appointed, and neither of which has thus far met.

The first is the Committee on Machine-Based Serials Records. This Committee has now been appointed by the Board. John McGowan is the chairman. The membership comprises Warren Boes, Norman Stevens, Ralph Hopp, and William Budington.

The second committee has resulted from the recomposition of the old Shared Cataloging Committee, now called the Committee on National Program for Acquisitions and Cataloging under Frederick Wagman's chairmanship. It has primary reporting responsibility to this Commission, and secondary reporting responsibility to the Commission on the Development of Resources. This Committee is composed of Howard Sullivan of Wayne State, Philip McNiff, John McDonald and myself. This Committee meets for the first time tommorrow evening.

Beyond that, the Commission on the Organization of Resources has begun to review the whole prospect of universal bibliographical control in this country, including all the ramifications of developing a national bibliography. Other concerns here are the problems of the International Standard Book Number, International Standard Bibliographical Description, etc.

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Report of the Commission on Access to Resources

MR. LATHEM (Dartmouth): The Commission on Access to Resources has met on three occasions since the last general membership meeting of the Association. With respect to one of our realms of general concern, you are aware, both from the ARL Newsletter and from the reports this afternoon by David Heron and David Weber, of the studies currently going forward with respect to interlibrary loans.

I can report to you that the Committee on Manuscripts, which is enlarging its concerns to that of access to manuscripts and rare books, is going forward under the chairmanship of James Henderson.

Douglas Bryant has already indicated that the president has appointed a Committee on Data Bases under the chairmanship of Gustave Harrer. The other members of that Committee are Richard De Gennaro, Richard O'Keeffe, Hugh Atkinson and Glenora Rossell. That Committee has now held its first organizational meeting.

The Commission has in the past expressed the need for the Association to direct attention to two special areas of concern: those involving access by external scholars, and by commercial users. The ARL Board has now indicated a disposition to precede any committee approach to those two matters by the preparation of position papers relating to them. One of these position papers has been committed to the attention of David Kaser.

Finally, the Commission, in pursuit of its desire to regard closely the question of possible ARL relationship to library networking or library-to-library services (this particularly in the absence of a formal ARL committee dealing with that area), held last evening a roundtable session chaired by David Weber and attended by 26 individuals. I am sure I speak

for my two colleagues on the Commission, as well as for myself, in saying that we certainly found that meeting to be useful and significant. We are most grateful for the thoughtful and helpful participation on the part of those who attended.

MR. MCDONALD: The Commission on Access, I think, has one of the heaviest loads of any of our Commissions, and a good many committees do report to it. Some of the most lively and vital issues before the Association seem to find their focus in the work of this Commission. I am grateful to the members of the Commission for all that they have undertaken during my tenure.

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Discussion:

MR. JONAH (Brown): Is the Commission working with the New England Board of Higher Education in connection with a proposal for the National Science Foundation?

MR. MCDONALD: Yes, the Association of Research Libraries has been involved in a modest way with this project every since it was conceived, and continues to be concerned with the project as it is developing. NSF has not funded this project as yet, but if it does, the Association will have representation on the advisory committee to the project in the person of Richard De Gennaro, I believe. Duane Webster has been invited to serve in a somewhat different sort of advisory capacity to the study, if it is undertaken. It is very large study, and not all of it is germane to our interests, but those parts of it that were developed with our assistance continue to be of interest to us from the point of view of the management of information resources. For further details I refer you to Duane Webster. Duane has presented a report to the Board on the matter. He knows about the prospects for the research. All of us in New England are interested in the project. It promises to be an interesting one.

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Report of the Commission on Management of Research Libraries

MR. HAAS (Columbia): We have given the ARL Board our report and recommendations regarding the committees for which this Commission is responsible, for example, the Committee Z-39 of ANSI chaired for many years by Jerrold Orne, and the ACRL/ARL Joint Committee on University Library Standards. [The report of this Commission referred to here is included as Appendix F of these Minutes]. I want to talk about some of the less fixed elements regarding the work of the Commission to give you some sense of the kinds of things we are thinking about and working on, and to solicit your reactions in these areas.

I remember when we first got into the management business four or five years ago. Our concern from the beginning has been, not to generate all kinds of reports about management, but rather to improve the process of managing research libraries. The evidence is strong that during those four years, research librarians as represented here, were and are actively immersed in the process of refining the way they run their libraries. We have demonstrated a kind of leadership that now we have to capitalize on. It is that goal of capitalizing on the progress we have made that prompts several of the things we are thinking about.

For example, across the country the libraries that are represented here have been developing very sophisticated systems of personnel classification. We have all been developing methods of running our shops. One of the things that is high in our priorities is upgrading our present efforts of bringing information about systems and procedures to the attention of everybody, and making the results of these efforts more generally available. None of us are quite sure what this means, but it might involve something like developing a Center for Information on Management Systems and Procedures that would in all probability operate out of the ARL Office of Management Studies. This is not a new realm of activity for that Office. Duane Webster has been working in this area. It would mean simply expanding our visibility and capitalizing on all of this effort in an effective way.

Another kind of project we are thinking about involves regional workshops. We have talked about conducting a series of day-and-a-half sessions involving librarians, academic officers, and possibly fiscal officers. These sessions would be devoted to discussions such as relating library objectives to academic programs. Topics like this discussed in regional workships around the country on a routine basis, and maybe even in cooperation with some group like the American Council on Education, seem to us to merit serious consideration.

Third, while our concern in the past few years has been in the refinement of the management of individual libraries, we have always been conscious of the fact that one of the real needs involves rethinking the planning process, especially management aspects of research libraries acting collectively. We continue to believe that this is a very difficult and critical area to tackle. Therefore we watch with much interest the efforts of Roy Kidman's Committee to look at the future role of ARL, including the relationship between ARL and a number of other organizations that have national programs. Listening to Roger Heyns this morning underscores the fact that this is an era for thoughtful reflection on the one hand, and dramatic action on the other.

These are big and complex subjects. I was given free advice yesterday that I will remember for a long time: if you are going to eat an elephant the only way to start is to take a bite. I think that is the dimension of some of the problems that we are talking about here, and conceivably that is how we have got to start.

John McDonald and Stephen McCarthy both noted today the fact of the Council on Library Resources' three-year grant to continue the operation of the Office of Management Studies. The third year of the grant is contingent upon the continuing cordial relations between the Ford Foundation and the Council on Library Resources. All of us are grateful to the Council for its continuing support of this major ARL effort. I think we all see signs that the office is producing results. With that, I would like to turn to Duane Webster. He has already distributed an annual report and has solicited your comments. We will have him focus on his current effort and look a bit to the future.

MR. WEBSTER: As Mr. Haas suggested, the major event to report here is the continuation grant awarded to the Office by the Council on Library Resources. I would like to add my expression of appreciation to the Council for its continued interest and support.

The annual report that was distributed by the Office earlier this month provides a detailed description of the activities and the products of the Office over this last year. [The annual report referred to here is included as Appendix E of these Minutes.] That report also suggests an emerging philosophy and aims of the Office for the next three years. I think it is particularly important to the Association to move along in this area. We need to get your views, your comments, your reactions both to what we have done and what we intend to do. We certainly need the type of support that we have had in the past and hope to get in the future.

The major activity this last year was the design of the Management Review and Analysis Program. A description of the Program was presented at the May meeting. The Program, as you know, is a self-study plan designed as an internal review of a research library's management and operation. Following the May presentation three libraries volunteered to participate in a pilot test of the Program. Those three institutions are Iowa State, Purdue and Tennessee. We are over half way through the Program, and are pretty much on target and achieving the results intended. The three participating institutions have been able to take the manual designed by the Office and interpret it rather successfully in terms of meeting their needs.

A second group of libraries is scheduled to start the Program at the conclusion of the pilot test. The second group will have the benefit of a revised manual that incorporates the experiences of the first three institutions. We see a third group starting in the Fall, probably October. The manual will be made generally available to the entire membership about the same time.

Another highlight of this last year was the publication of a second occasional paper that discussed library policies--how they are formulated and analyzed, and how they are used in an academic institution.

Also, we initiated the ARL Management Supplement, which is a newsletter that will accompany the ARL Newsletter on a periodic basis, hopefully every other month. The ARL Management Supplement will contain news about what is going on in selected library management areas, particularly what ARL research libraries are doing. The first issue was concerned with planning. Subsequent issues are in the planning stage, and will be devoted to such topics as budgets, budgeting techniques, and the role of the library director.

In terms of this next year, much of our effort is going to be devoted to the continued improvement of the Management Review and Analysis Program, including the entrance into the Program of these two new groups of participating libraries. We also have talked a little bit about construction of a policy manual. This is a project that would be an outgrowth of the occasional paper on policies, and might capitalize on some of the work that several of our member institutions are engaged in. We are also in the planning stages for a meeting of planning/budget officers which will be devoted to the topic of performance measures.

As has been suggested, we are studying a project that is concerned with the administration and uses of machine-readable data bases in academic environments. A proposal regarding this has been submitted by the New England Board of Higher Education to the NSF. This is a large project involving almost a million dollars, and extending over three years. During the earlier stages, we will assist in making a survey of institutions presently utilizing machine-readable data-based services. We will examine the alternative organizational structures for those services; the role of the library in providing those services; and the decision and policy-making activities related to those services. The proposal has been reviewed by NSF very favorably, and we may well have a positive answer regarding it within several months.

The full report on the study at Columbia is in the hands of a small publisher, Redgrave Information Resources Corporation. They had initially promised us a March publication date. Publication has been delayed by one month and may be delayed longer, but it will be out sometime this spring or early summer. One copy will be distributed to every ARL member.

Also during the course of this next year, we will be adding a second professional member to our Office. Enlarging the staff has been made possible partially because of the grant from the Council on Library Resources, and partially because of the added financial support of the Association.

Finally, I have for distribution a list of publications that are presently available from the Office. I will be happy to provide you with copies of any of our publications.

I wish to conclude by noting our appreciation for the support of the membership, both in the use of and response to our products, and in the willingness to participate in several of the Office projects. Certainly

the Management Review and Analysis Program, since it is a unique effort, needs the test and development activities involving the membership that it is receiving right now. Also, the new ARL Management Supplement series depends on the willingness of members to contribute their perspectives, news, and comments on their activities. And of course, Dr. McCarthy and I are certainly indebted to the ARL Management Commission, Mr. Haas, Ben Bowman and Richard De Gennaro, for the extensive advice and assistance they have given. Thank you.

MR. MCDONALD: Thank you both very much. The Commission has impressive accomplishments to its credit. It has an energetic chairman to be sure, but I think he would be the first to say that the presence of a staff contributes tremendously to the effectiveness of the work of the Commission. The Association can be grateful indeed that Duane Webster is there to look to the many important activities in the management area that we are undertaking with the assistance of the Council on Library Resources.

Discussion:

MR. BOES (Syracuse): I wonder whether the Commission is going to address itself to the subject of collective bargaining and its effect on managerial relationship with respect to libraries?

MR. HAAS (Columbia): There have been indications that this is a topic of interest. It is in fact, on my list of topics for the Center of Information and Dissemination, as are such topics as library security, and affirmative action programs by various types of libraries. The topic you suggested is very appropriate.

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Report of the Commission on External Affairs

MR. MCDONALD: I would like to ask Roy Kidman for a report from the ARL Commission on External Affairs. Roy may have something to add to his previous report, which has really been the principal activity of the Commission to date.

MR. KIDMAN (Southern California): The Commission will meet tomorrow afternoon. There are a few points that I would like to talk to you about briefly that will be discussed at tomorrow's meeting.

First of all, regarding the issue of the relationship with other associations, it seems quite clear from the presentation this morning that there are some opportunities there. Without having spoken to other members of the Commission, I have taken some of the responsibility upon myself to talk to Dr. Heyns about suggestions made by Mr. Bryant this morning in regard to continuing and broadening the charge of the ARL/ACE Joint Committee on University Library Management. Dr. Heyns encouraged me to pursue this.

The relationship of ARL with a number of associations is certainly one of the major topics that we need to discuss.

Another issue with which we are concerned is the mechanism whereby the Association makes up its mind about policy. It is well and good to talk about having relationships with other associations, but you know we have to have a message to take with us. And so we find ourselves in the position of trying to put in writing the policy of the Association. While we do have a conceptual framework within which we operate, I think you are aware of the fact that we do sometimes have difficulty getting together general program statements. I think we would like to say something about that.

As can be seen from the reports that you heard earlier, there are a number of committees which are meeting with other Association committees. It seems to me that it would be awkward and not possible for all of those committees to report to this Commission. Yet maybe this Commission should be responsible for an annual census of some kind which would review the activity of the various ARL committees.

The next point relates to the fact that this Commission previously was involved almost entirely with items having to do with federal relations. Some of the same problems that I have talked about, such as formulation of policy, apply to the Federal Relations Committee as they do to the Commission.

There is another issue too of geographical proximity and the time frame that is involved. We have an office in Washington. We have calls made upon ARL to be involved with this federal process. It seems to me we need to say something about how much the Federal Relations Committee can be involved in that process, without undoing the kind of expert work that Dr. McCarthy and others have done in the Washington area.

And finally, we have international relations. We have specific monetary relations with the International Federation of Library Associations. There are, I am sure, other such associations with which we may affiliate. I am not too sure how rapidly these affiliations are going to develop, or just how much of a role we can play. There are a number of concerns, such as problems of standardization, that are visible to us now. Perhaps we can suggest others that will be coming up in the future. I hope we will be able to make a report on this with suggestions to the Board after our meeting tomorrow.

MR. MCDONALD: I think the Commission on External Affairs, which I was late in activating, has made up for my deficiencies by doing good early work. We look for more from that Commission in the future.

The ARL Executive Committee constitutes Commission Six. I will make a report in a moment, following the report of our Executive Director, Stephen McCarthy.

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Report of the Executive Director

MR. MCCARTHY: I will be brief and try to avoid repetition of what has been said by others, although there are some things which I propose to repeat. I will say nothing about the membership criteria because, unless there are questions, I think we have said as much as we can say at the present time.

I would like to talk for a few minutes about our centers and projects. The Slavic Center was terminated September 1. I believe the Slavic Center was a victim of the kind of re-evaluation which Dr. Heyns was speaking of this morning. There was a re-assessment and re-evaluation on the part of institutions as to their commitments in Slavic studies, and the same sort of re-evaluation by the Ford Foundation. I think another factor that was involved there, and I tried to emphasize this rather strongly with the Ford Foundation, is that in a bibliographic enterprise the concept of critical mass is important. Such an enterprise has got to be a big enough effort, carried on for a long enough time, to make a real impact. This we were not able to do with the Slavic Center, because the original proposal was substantially reduced, the Center was given only a short time for operation, and it was then evaluated by some in terms of the goals of the major project which were to be achieved over a five-year period.

Turning now to the Chinese Center, since July 1, this Center has been jointly funded by a gift and matching grant from the Ford Foundation and the National Endowment for the Humanities. This grant continues through August of this year. We have been negotiating with the Ford Foundation for over a year for a three-year extension of this Center. That negotiation continues. We have been led to believe that we will very shortly get the decision of the Ford Foundation. If there is a positive response, we will then go to the National Endowment for the Humanities which, without making a commitment, has in effect given us assurance that they would continue their participation. If the proposal to Ford fails, we will also hold discussions with the National Endowment for the Humanities, but the prospects for success would have been diminished by 50 percent as you would understand.

The Chinese Center has had a particularly effective year. It has issued 190 titles, an output greater than that of many university presses. The Center has produced microfilm files of a number of major Chinese newspapers and Chinese journals. Its activity has been substantial and successful. We will continue the process of presenting the case for support of the Center to the Ford Foundation.

I would like to add my thanks and appreciation to the Council on Library Resources for their continuing support of the Office of Management Studies. It is a pleasure to deal with the Council on Library Resources.

I will now turn to the interlibrary loan project supported by the National Science Foundation. The work in developing the project as it was finally approved went on for a period of nine months. In that time our

initial proposal was significantly changed. The study is now being carried forward under contracts with Westat, Inc. and Becker & Hayes. I believe the two projects will yield important information which can assist in policy formulation for the general problem area of interlibrary loans. These studies have not moved forward as rapidly as we had hoped, but they are well underway now. We have good advisory committees and good contractors, and we should get good results.

We also have a modest contract with the National Commission on Libraries and Information Science to conduct another study in the interlibrary loan field. This project is concerned with the feasibility of operating regional or central interlibrary loan centers. The study is being carried out by Rolland Stevens of the University of Illinois Library School. A report of the study is expected to be presented in April.

The Association has issued two books. I believe that this will be the first year in ARL's history when two books were published. One of the publications is the Westat report entitled A Study of the Characteristics, Costs and Magnitude of Interlibrary Loans in Academic Libraries. The second report was written by Felix Reichmann and Josephine Tharpe and is entitled Bibliographic Control of Microforms. Copies of both of these publications have been distributed to the membership. We look forward to the early publication of the Columbia Report, as Duane Webster has noted.

Normally I would now say something about what we expected to do in the area of legislation. I am not sure that there is much for me to say. The 1972 Education Amendments, the Act to which Mr. Hughes referred a number of times this morning, does carry forward with some modification the programs which were initiated by the Higher Education Act of 1965. If our reading of the planned leak regarding the budget is correct, this will be inactive legislation in the years immediately ahead. We are not sure just what is going to occur.

The education community in Washington has formed a group called the Full Funding Committee. This group puts forth great effort to increase funds appropriated for educational programs. However, as you know, if there is ten dollars in the budget, it is one thing to try to add five, but when there is nothing in the budget, it is harder to get to fifteen. I am not quite sure what the Full Funding Committee will try to do. We are in touch with it, and we will participate as may appear appropriate.

In view of the fact that the Education Amendments of 1972 were just enacted by the last Congress, and provide for programs for a period of three years, there is not likely to be any significant higher education legislation in the year immediately ahead. Probably this means that our principal effort in the legislative field may be directed to copyright revision, about which I will speak in a minute, and also to the amendments referred to this morning by Dr. Heyns, regarding provisions in the Tax Reform Act relating to gifts to institutions.

You may remember that the Church Amendment was introduced last year. Briefly put, this was an amendment which would permit the author of manuscripts or a collection of papers to be given a 50 percent tax exemption if a gift were made to a non-profit institution. The Church Amendment passed the Senate. There was, so far as we could determine, no significant opposition in the House, but with the closing of Congress the Amendment got lost, and therefore will need to be reintroduced. It would appear to be the kind of modest change in the law which might prove feasible, but we do have conflicting statements made by Wilbur Mills on the one hand, and Russell Long on the other, so its future is uncertain at this point. We will certainly keep informed about this, and bring to bear whatever pressure we can. We may, in some instances, need to call on you for a report of your experience since as you know, the present law does not permit the author to get any tax credit for a gift, whereas a person who has purchased a collection can make a gift and get tax benefit from it.

Now to turn briefly to the copyright question. The latest information we have on the Williams and Wilkins case is as follows: the briefs by both the plaintiff and the defense and the amicus briefs on both sides, have been filed with the Court of Claims. These briefs are then made available to the opposing sides for further analysis and response. Our attorney was asked by the Justice Department to assist in this, and did so. This occurred just before and after Christmas. The next step, as we understand it, is oral argument before the judges of the Court of Claims. This normally is participated in only by the attorney for the defense and the plaintiff. At the Justice Department's request, we have authorized our attorney, Philip Brown, to ask that he be given fifteen minutes to support the Justice Department. This has been opposed by the plaintiff's attorney, and we do know what the decision of the judges will be. It is our understanding from the Clerk of the Court of Claims that the oral hearing and the decision of the Court of Claims are expected to come in the Spring term of the Court, which begins in March and ends the latter part of June. If this is so, there will be a Court of Claims decision, probably not by the time of our May meeting, but sometime in the summer.

With respect to copyright revision, Senator McClellan expects to introduce the same bill which was in the Senate at the last session. He plans to hold brief hearings in March. The time table set up by the Senator and his staff is that the Senate will act on this measure before the end of the year. There are those who say that this is very optimistic, and is not likely to happen. I am not sure. We have presented the amendment which has been brought to your attention, which in effect recommends that the copyright law provide that present library practices may be continued and regarded as not an infringement. This is, of course, opposed by the American Association of Publishers and perhaps the information industry. [The amendment referred to here is included in these Minutes as Appendix C.]

I want publicly to thank many of you for your assistance to your university presidents in drafting letters to Senator McClellan in support of our amendment. This was a project for which we owe thanks to Fred Cole and to Charles Kidd, the Executive Secretary of the Association of American Universities. Mr. Kidd addressed a letter to all of the members urging that university presidents write to Senator McClellan in support of our amendment, and a good many of your presidents have done so. I know that on some campuses the university press has been invited to offer an opinion and they have opposed it. In some cases the library has lost to the university press. It is regrettable, but it happens.

You may have noted that in the minutes of the Board of Directors for the September meeting, reference was made to a proposed study of user charges by government departments for information products. This was a study proposed by the Panel on Library Programs of COSATI. COSATI is in a state of semi-suspension at the moment. The study is nowhere, and no one knows whether it is going anywhere.

I have one announcement to make, at the request of Frank Schick. Some libraries are writing the OE Office of Statistics asking for the survey forms for 1972 for libraries. There was no survey in 1972, as this is an alternate year program. There will be a survey in 1973, and you will receive the forms in due time.

I would like to say just a word about our failure so far to recruit a person to replace Louis Martin. It shows how difficult it is to replace a good man when he goes North. We were not successful in some of our earlier efforts. We think we now have a group of very promising candidates, and I hope that the position will be filled in the relatively near future. In the meantime, Mrs. Suzanne Frankie, whom many of you have met, is assisting me part-time and Duane Webster part-time, and Dake Gull has taken on various special projects for us.

Lastly, I would say thanks to all of you for responding as generously as you do when we call on you for information, assistance and letter writing.

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Report of the ARL President

MR. MCDONALD: I am constantly amazed at Dr. McCarthy's grasp of the complexity of this organization, and his ability to summon up these details whenever he is called upon to do so, be it at a Board meeting, or a meeting of this kind. It is a great talent, and believe me a great comfort to the officers of the Association, the president in particular.

I think it can be safely said that holding the office of president in this Association is a learning experience. Among the most informative activities of the Association are the meetings of the Board of Directors. I would like first of all, to report on some of the actions of the Board this past Friday. Some of these have been revealed through the Commission reports. I hope not to be unnecessarily redundant. We are concerned with the matter of gathering statistics and the new membership criteria. We will be working further on that. As you know, we are concerned with the Association's finances. More will be done about that, and about the staffing of the Association. We are concerned with the way in which the new organizational structure is operating. The Board has taken a preliminary look at this, with a determination to undertake a more searching evaluation in the future.

As Roy Kidman mentioned, we are concerned with our relations with IFLA, and will be developing these relations further. As everybody has mentioned, we are concerned with our relationship to the federal government, and to the funding of library programs. The Board has had a preliminary discussion of the implications of affirmative action for Association libraries. We hope that more can be done in this area that will be of assistance to member libraries.

The Board has heard the kind of report you just heard on copyright problems. Dr. McCarthy continues to keep the Association apprised of these very difficult, complex matters.

We have undertaken and secured a number of contracts for studies this year, and Dr. McCarthy has ably reviewed these. More I guess are in prospect. The Board will consider other business tomorrow morning, and in due course, Board actions will be forwarded to the membership.

I feel that the accomplishments of the year are several. I would highlight the studies just alluded to including the examination of the Association's role and objectives that has been undertaken and will be continued and perfected in the future. I think that this has very important implications for the ARL staff, officers and membership.

With the help of the Council on Library Resources, the Association's very significant efforts in the management area have been strengthened and extended as you have heard. I would like to join those who have expressed appreciation to Fred Cole and the Council for their continued interest and support.

Among things to be undertaken are the refinement of the Association's work on role and objectives, the securing of increased funding and improved staffing for the ARL office, and the study of the pattern of ARL meetings which I am urging the Board to undertake.

Speaking as an officer of the Association now, I must say that our tendency to compound our activities poses some logistical problems. Perhaps the benefits are well worth the problems that result, but I do think that we need to be careful about what we do, and to undertake activities with full understanding of their implications.

Finally, I feel that we must do something in the area of evaluating the new organizational structure to determine how well it is functioning, where it is deficient, if it is, and ways in which we can be more effective.

These are some of the activities I see ahead. It is simply not possible to describe here all of the concerns and actions of the Association. I am amazed at the complexity of our undertakings. I repeat how grateful I am to Stephen McCarthy for the wealth of detail that he is master of, and that he helps the officers to understand.

As has been said, I have been president of this Association longer than any other person. I feel sure that I have made more appointments than any previous president. I hope I have not been a bore to you. You have responded admirably, and I very much appreciate the great assistance that you all have been. I am certain that I have learned more on this job than any previous president simply because I had more to learn. It has been a great privilege for me to serve, and I thank you for having afforded me the opportunity to do so.

I want now to call upon your president-elect, William Budington for an installation ceremony.

MR. BUDINGTON: I think that all of you join me in expressing our deep appreciation to John McDonald for his work in this eighteen-month year that he has experienced. He came upon the scene due to the "defection" of Thomas Buckman, who left him a considerable legacy. We shifted the schedule of our meetings you will recall, to a Spring meeting at the lovely Broadmoor. We also brought about a new hierarchy in the Association's organization with the installation of the Commissions, and the close of his term, we recognize what we owe to him for his intelligent and conscientious conduct of the affairs of the Association.

In his opening of the morning session, Mr. McDonald made reference to a feeling of déjà vu in connection with the political installation recently. This reminded me of an event recently where a friend of mine handed me a mimeographed piece of paper and said, "This looks like a good meeting of ARL," and read to me some of the titles of papers as follows:

"The Need for the Study of Research Library Problems,"
"Library Operations - What the Scholar Expects,"
"Library Cooperation and Specialization,"
"Financial Implications"

It turns out these papers were presented October 29th, 1954 at the Conference on Financial Problems of Libraries at Allerton House. Some of you were there, as were such great names as Downs, Swank, Metcalf, and Buck, who were the powers in those days.

After the morning program, I think that we realize that we have not only a déjà vu, but a preview, and are in a position that was briefly characterized by Roger Heyns, when he said we are getting ready to jump. Possibly we feel like little Abner looking in the bottomless pit and wondering what is down there. But I think that all of us realize from the reports of the committees and the Commissions, that we are not without internal and external resources. ARL has never failed to recognize when it was time for a response in a time of challenge. And I think that we can look to the future without too much fear. With the help of the Commission on Role and Objectives and all of the others, we will rise to these new challenges.

I am not going to speak in detail about the New Orleans meeting. I do hope that you all have noted it on your calendars for May 11th and 12th at the Roosevelt Hotel in the shining city of New Orleans. Some of the meetings have already been planned and the responsibilities accepted. We are going to have one meeting under the auspices of Gustave Harrer and the Committee on Data Bases, and perhaps another one on the economics of information. We will have a presentation from the new Independent Research Library Association to which some of us belong.

We look forward to seeing all of you there and welcome you to a busy coming year.

I now declare the Eighty-First Meeting of the ARL adjourned.

* * * *

APPENDIX A

BYLAWS OF THE ASSOCIATION OF RESEARCH LIBRARIES
As Amended May 12-13, 1972

ARTICLE I - Offices.

The principal office of the Association shall be located in the office of the Executive Director. The Association may have such other offices as the Board of Directors may determine, or as the affairs of the Association may require from time to time.

ARTICLE II--Membership

Section 1--Member Institutions:

Membership in the Association shall be on an institutional basis. On invitation of the Association membership shall be open to major university libraries whose collections and services are broadly based and to certain other libraries whose collections are recognized as having national significance. Major university libraries are considered to be those whose parent institutions broadly emphasize research and graduate instruction at the doctoral level and grant their own degrees, which support large, comprehensive research collections on a permanent basis, and which give evidence of an institutional capacity for and commitment to the advancement and transmittal of knowledge.

Invitations to other libraries shall be issued at the initiative of the Board of Directors after approval of the membership.

Section 2--Qualifications for Membership:

Qualifications for membership are established by vote of the members and are reviewed from time to time. The Regulations in effect at any given time are available on request from the office of the Association.

Section 3--Termination of Membership:

Regulations for the termination of membership are established by vote of the members and are reviewed from time to time. The Regulations in effect at any given time are available on request from the office of the Association

Section 4--Transfer of Membership:

Membership in the Association is not transferable or assignable.

ARTICLE III - Board of Directors.

Section 1 - Board of Directors:

There shall be a Board of Directors which shall manage the affairs of the Association. The number of Directors shall be not less than nine nor more than twelve. The President, Vice-President, and Immediate Past President of the Association shall be members of the Board. Directors shall be elected for terms of three years, three to be elected annually as provided in Article IV. Each Director shall be chosen from among the chief librarians representing member institutions of the Association. Each Director shall take office at the close of the Annual Meeting at which he is elected and shall serve until the end of the Annual Meeting held at the close of his term of office. Notwithstanding any other provision contained in these Bylaws, an officer of the Association who is serving as a member of the Board of Directors may continue to serve as a member of the Board until the expiration of his term as officer despite the fact that his normal, three-year term as Director may have expired. Any vacancy arising in the Board of Directors shall be filled by the Board of Directors, the appointee to serve until the next Annual Meeting, when a successor for the unexpired term shall be nominated and elected by the members of the Association.

Section 2 - Quorum and Action:

A majority of the members of the Board of Directors shall constitute a quorum. Action by the Board of Directors shall be by majority vote of the Directors present except that, as provided in Article V, Section 4 of these Bylaws, election of the Vice-President shall be by the vote of an absolute majority of the total membership of the Board.

Section 3 - Notice of Meetings:

A regular meeting of the Board of Directors shall be held without other notice than this Bylaw, after the Annual Meeting of the Association, either on the same day thereof, or on the next

succeeding day thereafter, at the time and place announced by the President at the Annual Meeting. The Board of Directors may provide by resolution the time and place for the holding of additional regular meetings of the Board of Directors without other notice than such resolution. Special meetings of the Board of Directors may be called by or at the request of the President or any two Directors. Notice of any special meeting of the Board of Directors shall be given at least ten days previously thereto by written notice delivered personally or sent by mail or telegram to each Director at his address as shown by the records of the Association. If mailed, such notice shall be deemed to be delivered when deposited in the United States mail in a sealed envelope so addressed, with postage thereon prepaid. If notice be given by telegram, such notice shall be deemed to be delivered when the telegram is delivered to the telegraph company. Notice of a meeting need not be given to any Director who signs a waiver of notice whether before or after the meeting, or who attends the meeting without protesting, prior thereto or at its commencement, the lack of notice to him. The business to be transacted at, and the purpose of, any special meeting of the Board of Directors shall be specified in the notice or waiver of notice of such meeting.

ARTICLE IV - Nominations and Elections of the Board of Directors.

Section 1 - Nominating Committee:

There shall be a nominating committee of three persons one to be the Vice-President who shall serve as chairman of the Nominating Committee; and two persons to be appointed annually by the President of the Association.

Section 2 - Nominations:

It shall be the duty of the Nominating Committee to select annually a slate of five nominees for the Board of Directors. No Director, having served a full three-year term, may be nominated to succeed himself. The consent of the candidates to serve if elected must be obtained before nominations are accepted. The report of the nominating committee shall be distributed to the members at least thirty days before the election.

Additional nominations may be made from the floor.

Section 3 - Elections of the Board:

Each member may vote for not more than three nominees, except for the election of a successor for an unexpired term.

The three candidates receiving the highest number of votes shall become members of the Board for three-year terms.

ARTICLE V - Officers.

Section 1 - Officers:

The officers of the Association shall be a President, a Vice-President, an Immediate Past President, and an Executive Director. The officers, except the Executive Director, shall serve for terms of one year each. The Vice-President shall automatically succeed to the Presidency at the end of his term as Vice-President. The President shall preside at meetings of the Association and of the Board of Directors. The President shall perform all duties incident to his office and such other duties as may be prescribed by the Board of Directors. In the absence of the President or in event of his inability or refusal to act, the Vice-President shall perform the duties of the President and when so acting, shall have all the powers of and be subject to all the restrictions upon the President. The Vice-President shall perform such other duties as from time to time may be assigned to him by the President or by the Board of Directors. The officers shall have and may exercise all the powers of the Board of Directors between meetings of the Board, when necessary. Their action shall be subject to subsequent ratification by the Board of Directors.

Section 2 - Executive Director:

There shall be an Executive Director of the Association, appointed by the Board of Directors, who shall serve at its pleasure. The Executive Director shall serve as Director of the Association but shall not be a member of the Board of Directors. He shall also serve as Treasurer of the Association and shall be bonded.

Section 3 - Duties of the Executive Director:

The Executive Director shall be in charge of the principal office of the Association and its personnel; he shall conduct the Association's administrative affairs; he shall be responsible for the execution of all orders of the Board of Directors; he shall prepare an annual budget and carry out the activities provided for in the budget as adopted by the Board of Directors; he shall have charge and custody of and be responsible for all funds and securities of the Association; he shall receive and give receipts for moneys due and payable to the Association from any source whatsoever and deposit all such moneys in the name of the Association in such depositories as shall be selected by the Board of Directors; he shall see that all notices are duly given in accordance with these Bylaws or as required by law; he shall keep a register of the post office address of each member which shall be furnished to the Executive Director by such member; he shall keep all minutes, and issue minutes and reports as required by the Board of Directors; he shall perform such other duties as from time to time may be assigned to him by the Board of Directors.

Section 4 - Vice-President:

The Vice-President shall be chosen from among members of the Board of Directors. Notwithstanding Article III, Section 2 of these Bylaws, he shall be elected by the vote of an absolute majority of the total membership of the Board. In the event that no one candidate for Vice-President receives an absolute majority in the first election, there shall be a run-off election between the two candidates receiving the highest number of votes, and that candidate receiving a majority in the run-off election shall be elected Vice-President. In the event the run-off election results in a tie, additional elections shall be conducted until one candidate receives a majority.

ARTICLE VI - Meetings.

Section 1 - Annual and Special Meetings:

There shall be an Annual Meeting of the Association at a time and place to be determined by the Board of Directors. The Association may meet at such other times and places as may be determined by the Board of Directors.

Section 2 - Notice of Meetings:

Written or printed notice stating the place, day and hour of any meeting of the Association shall be delivered, either personally or by mail, to each member entitled to vote at such meeting, not less than ten nor more than fifty days before the date of such meeting, except as otherwise required by law or by these Bylaws, by or at the direction of the Board of Directors, the President or the Executive Director. When a meeting is adjourned to another time or place, it shall not be necessary to give any notice of the adjourned meeting if the time and place to which the meeting is adjourned are announced at the meeting at which the adjournment is taken, and at the adjourned meeting any business which might have been transacted on the original date of the meeting may be transacted. In case of a special meeting or when required by law or by these Bylaws, the purpose or purposes for which the meeting is called shall be stated in the notice. If mailed, the notice of a meeting shall be deemed delivered when deposited in the United States mail addressed to the member at its address as it appears on the register of members, with postage thereon prepaid.

Section 3 - Quorum and Action:

A majority of the total membership shall constitute a quorum for the transaction of business, and an affirmative vote of a majority of the members voting, but not less than one-third of the total membership, shall be sufficient except as otherwise required by law or by these Bylaws.

Section 4 - Voting:

Each member shall be entitled to one vote on each matter submitted to a vote of the members. A member shall be represented in proxy by its chief librarian, or in his absence, by its associate or one of its assistant librarians. Voting may be by proxy or by mail or by a combination thereof.

Section 5 - Parliamentary Procedures:

The conduct of meetings shall follow Robert's Rules of Order.

ARTICLE VII - Committees.

In addition to the Nominating Committee, such other standing and ad hoc committee as may be needed to carry out the business of the Association may be appointed by the Board of Directors.

ARTICLE VIII - Dues .

Section 1 - Fixing of Dues:

Membership dues shall be proposed by the Board of Directors and shall require approval by an affirmative vote of a majority of the total membership of the Association after due notice.

Section 2 - Forfeiture of Membership for Failure to Pay Dues:

A member failing to pay dues for two successive years shall automatically forfeit membership in the Association.

ARTICLE IX - Contracts, Checks, Deposits and Funds.

Section 1 - Contracts:

The Board of Directors may authorize any officer or officers, agent or agents of the Association, in addition to the officers so authorized by these Bylaws, to enter into any contract or execute and deliver any instrument in the name of and on behalf of the Association and such authority may be general or confined to specific instances.

Section 2 - Checks, Drafts, etc:

All checks, drafts or orders for the payment of money, notes or other evidences of indebtedness issued in the name of the Association, shall be signed by such officer or officers, agent or agents of the Association and in such manner as shall from time to time be determined by resolution of the Board of Directors. In the absence of such determination by the Board of Directors, such instruments shall be signed by the Executive Director and counter-signed by the President or Vice-President.

Section 3 - Deposits:

All funds of the Association shall be deposited from time to time to the credit of the Association in such depositories as the Board of Directors may select.

Section 4 - Gifts:

The Board of Directors may accept on behalf of the Association any grant, contribution, gift, bequest or device for the general purposes or for any special purpose of the Association.

ARTICLE X - Books and Records.

The Association shall keep correct and complete books and records of account and shall also keep minutes of the proceedings of its members, Board of Directors and committees having any of the authority of the Board of Directors, and shall keep at the principal office a register giving the names and addresses of the members entitled to vote. All books and records of the Association may be inspected by any member, or his agent or attorney for any proper purpose at any reasonable time.

ARTICLE XI - Fiscal Year.

The fiscal year of the Association shall be the calendar year.

ARTICLE XII - Waiver of Notice.

Notice of meeting need not be given to any member who signs a waiver of notice, whether before or after the meeting. The attendance of or voting by any member at a meeting, without protesting, prior thereto or at its commencement, the lack of notice of such meeting, shall constitute a waiver of notice by such member.

ARTICLE XIII - Amendments.

Amendment of these Bylaws requires an affirmative vote of a majority of the total membership of the Association, at any meeting of the Association, provided that notice of such meeting and

the proposed amendment has been given in writing at least thirty days in advance of the meeting by the Executive Director with the approval of the Board of Directors.

ARTICLE XIV - Dissolution.

Upon dissolution of the Association, the assets of the Association shall be applied and distributed as follows:

a. All liabilities and obligations of the Association shall be paid, satisfied, and discharged, or adequate provision shall be made therefor;

b. Assets held by the Association upon condition requiring return, transfer, or conveyance, which condition occurs by reason of the dissolution, shall be returned, transferred, or conveyed in accordance with such requirements;

c. Assets received and held by the Association subject to limitations permitting their use only for literary, educational, scientific, or similar purposes, but not held upon a condition requiring return, transfer, or conveyance by reason of the dissolution, shall be transferred or conveyed to one or more organizations exempt from income tax as organizations described in section 501(c)(3) of the Internal Revenue Code having as and pursuing purposes substantially similar to those of the Association, pursuant to a duly adopted plan of distribution;

d. Any remaining assets shall be distributed to one or more organizations exempt from income tax as organizations described in section 501(c)(3) of the Internal Revenue Code for any one or more literary, educational, or scientific purpose or purposes, or to the federal government, or to a state or local government, for a public purpose, pursuant to a duly adopted plan of distribution, or by a court to one or more such organizations to be used in such manner as in the judgment of the court will best accomplish the purposes for which the Association was organized.

APPENDIX B

CRITERIA FOR ADMISSION TO MEMBERSHIP IN THE ASSOCIATION OF RESEARCH LIBRARIES

Adopted January 22, 1972

University Libraries

At its meeting in Chicago on January 22, 1972, the membership of the Association of Research Libraries voted to establish quantitative criteria that would govern invitation to membership in the ARL. If a university library meets the criteria, invitation to membership is automatic.

The criteria are based on ten of the statistical categories used by the Association in its annual statistics. The categories are:

1. Volumes in library
2. Volumes added--gross
3. Number of professional staff, FTE
4. Number of total staff, FTE
5. Expenditures for library materials and binding
6. Expenditures for salaries and wages
7. Total operating expenditures
8. Number of serial subscriptions
9. Number of PhDs awarded
10. Number of fields in which PhDs are awarded.

Each year medians are established for these categories. To qualify for automatic invitation to membership, a university library must have maintained for a three-year period an average of over 50 percent of the current medians of the first eight categories, and an average of over 40 percent of the last two.

Example: Assume that the median figure for volumes in library for 1971-72 is 1,400,000 volumes. A prospective member would have to exceed 50 percent of that figure--700,000 volumes--on an average for the year, 1969-70, 1970-71, and 1971-72, if an invitation to membership were to be extended in 1973. Each year the required figure will change because the median will change. This same procedure would extend, as stated above, to the first eight statistical categories. Only the percentage, 40 percent rather than 50 percent, would change for the last two categories.

These new standards for invitation will be used after the compilation and publication of the statistics for 1971-72. They will be available in December 1972.

In approving this new procedure, the membership also stated that the criteria for invitation to membership will be reviewed by the Association every two years.

Maintenance of membership: To maintain membership in the ARL, a university library may not fall below 40 percent of the medians of any of the first eight statistical categories for four consecutive years, or below 30 percent of the medians of either of the last two categories.

Nonuniversity Libraries

Invitations to membership to nonuniversity libraries are voted by the membership of the Association, acting upon recommendations from the board of directors. This procedure is followed because the criteria established for university libraries cannot be applied to others.

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Medians for 1971-72

Categories	Medians 1971-1972	Percentage	Required Minimum Nos.
1. Volumes in Library	1,486,412	50%	743,206
2. Volumes added--gross	86,473	50%	43,237
3. Number of professional staff, FTE	65.5	50%	33
4. Number of total staff, FTE	196	50%	98
5. Expenditures for library materials and binding	998,178	50%	499,089
6. Expenditures for salaries and wages	1,596,398	50%	798,199
7. Total library operating expenditures	2,855,735	50%	1,427,868
8. Number of current periodicals	17,160	50%	8,580
9. Number of PhDs awarded	254	40%	102
10. Number of fields in which PhDs are awarded	43.5	40%	17

APPENDIX C

ARL/ALA PROPOSED AMENDMENT TO THE COPYRIGHT REVISION BILL

The Copyright Committees of the American Library Association and the ARL, and their attorneys met at the ARL Office on October 18 to discuss the Copyright Revision Bill S. 644. The focus of the meeting was to discuss a proposed amendment to Section 108 (d) (1), which would have prohibited library photocopying of journal articles, if the publisher offered to supply reprints. Certain penalties were to apply to publishers who offered reprints and failed to supply them.

This proposed amendment was unanimously rejected because it was considered (a) to destroy any application of the fair use doctrine to photocopying, and (b) because it was administratively cumbersome and expensive, and would result in poor service.

As a substitute amendment for Section 108 (d) (1) the group adopted the following amendment, which is being submitted to the Senate Subcommittee on Patents and Copyrights by the two associations. It is hoped that other library associations will join in supporting this effort.

AMENDMENT TO COPYRIGHT REVISION BILL, S. 644 RECOMMENDED BY THE ASSOCIATION OF RESEARCH LIBRARIES, AMERICAN LIBRARY ASSOCIATION, AND OTHERS

(d) The rights of reproduction and distribution under this section entitle any library or archives whose collections are available to the public or to researchers in any specialized field to duplicate, by any process including photocopying and sound recording, any work in its collections other than a motion picture, and to supply a single copy or phonorecord upon request, but only under the following conditions:

(1) The library or archives shall be entitled, without further investigation, to supply a copy of no more than one article or other contribution to a copyrighted collection or periodical issue, or to supply a copy or phonorecord of a similarly small part of any other copyrighted work.

(2) The library or archives shall be entitled to supply a copy or phonorecord of an entire work, or of more than a relatively small part of it, if the library or archives has first determined, on the basis of a reasonable investigation that a copy or phonorecord of the copyrighted work cannot readily be obtained from trade sources.

(3) The library or archives shall attach to the copy a warning that the work appears to be copyrighted.

APPENDIX D

CENTER FOR CHINESE RESEARCH MATERIALS
ANNUAL REPORT FOR THE YEAR 1972

The year 1972 marked a new phase in the funding of the Center for Chinese Research Materials of the Association of Research Libraries.

Beginning July 1 of the year under review, the Center has been operated with a grant awarded by the National Endowment for the Humanities under its programs in the Division of Research Grants. The award, totaling $124,332, was made available through the NEH's gift and matching grant program, with half of the amount donated by the Ford Foundation in support of the Center's reproduction activities. The funding period is through August 1973.

The Center has established excellent links with the academic communities and libraries which are interested in the study of China, both nationwide and at the international level. The opening of the People's Republic of China and President Nixon's visit to China increased research interest in that country. Cultural exchanges on a broader scale are also expected to develop. However, export of publications from China during 1972 was extremely limited, and those publications needed to support research are still not available from bookdealers or through exchange. The Center was fortunate to receive 240 titles of Chinese publications which were brought back to this country by scholars and librarians who visited the People's Republic of China last year. The twenty-five titles acquired by Dr. Ross Terrill of Harvard University have already been reproduced by the Center. Three collections totaling 215 titles are currently being made available through the assistance and cooperation extended to the Center by Professor John K. Fairbank of Harvard University, Mr. Anderson Shih of the University of California at Berkeley, and Dr. Chi Wang of the Library of Congress.

In addition to these sources, the Center has also received rare research materials of high research value which were sent from Europe. These include a collection of Red Guard publications, local newspapers published in Peking, and a new issue of the National Bibliography, published in June 1972.

During 1972, the Center reproduced 190 titles. Their availability was announced in three issues of the Center's Newsletter. This brings the total number of titles offered by the Center to 578.

Sales and distribution of Chinese research materials are worldwide as is demonstrated in the following two tables:

TABLE I - Total Sales

Period	Sales	Average Monthly Sales
1972	$ 94,286.67	$7,857.22
1968-1971	209,627.56	5,375.06
Total:	$303,914.23	5,959.10

TABLE II - Clientele which placed orders in excess of $2,000, October 1968 - December 31, 1972.

Domestic:

1.	Center for Research Libraries, Chicago	14,814.00
2.	The Library of Congress	13,980.90
3.	University of Michigan	12,846.68
4.	Princeton University	11,162.05
5.	University of Chicago	10,621.70
6.	Harvard University - Harvard-Yenching Library	8,249.15
7.	University of Pittsburgh	7,874.90
8.	University of Washington, Seattle	6,751.20
9.	Hoover Institution - Stanford University	5,555.70
10.	University of California - Los Angeles	5,537.50
11.	Columbia University	5,513.25
12.	Yale University	5,050.70
13.	University of Illinois	4,968.95
14.	University of Virginia	3,769.00
15.	Brown University	3,750.70
16.	University of Minnesota	3,663.75
17.	University of California - Berkeley	3,463.95
18.	Rutgers University	3,357.50
19.	University of California - Santa Barbara	3,224.35
20.	University of Hawaii	2,952.90
21.	University of North Carolina	2,787.55
22.	University of Arizona	2,763.00
23.	University of Wisconsin	2,595.55
24.	Ohio State University	2,516.20
25.	San Diego State College	2,381.15
26.	George Washington University	2,139.50
		$152,291.78

TABLE II - Cont'd.

Foreign

1.	National Library of Australia, Canberra	$13,217.45
2.	University of Toronto, Canada	9,396.25
3.	Yushodo Booksellers, Ltd., Japan	9,146.58
4.	University of British Columbia, Canada	8,139.55
5.	The Center for Modern Chinese Studies, The Toyo Bunko, Japan	7,812.45
6.	Sinologisch Instituut, Leiden, Holland	6,066.18
7.	Australian National University, Canberra	5,583.20
8.	University of Leeds, England	5,181.80
9.	Institut für Asienkunde, Hamburg, Germany	4,866.70
10.	Freie Universität Berlin, Germany	4,569.75
11.	Institute of Modern History, Academia Sinica, Taiwan	4,234.80
12.	University of Hong Kong	3,745.15
13.	University of Alberta, Canada	3,427.00
14.	Chinese University of Hong Kong	3,006.85
15.	Ruhr-Universität Bochum, Germany	2,708.25
16.	The Royal Library, Copenhagen, Denmark	2,070.70
17.	School of Oriental and African Studies, University of London	2,061.75
18.	McGill University, Montreal, Canada	2,013.05
		$97,247.46

Of the 190 titles reproduced in 1972, the following deserve particular mention in this report:

1. National Bibliography, Peking, 1950-1966.
   9,500 pages, 20 vols.

2. New China Monthly, Peking, 1949-1966.
   Nos. 1-260. Microfilm in 60 reels.

3. New China Monthly (1949-1966)

   a. A Cumulative Table of Contents;

   b. Index to Reference Materials in Newspapers and Periodicals;

   c. A Chronology of National and International Events of Significance.
      3,519 pages, 9 vols.

TITLES - Cont'd

4. Kuang-ming Daily (Peking, 1953-1967)
Five Scholarly Sections:

History, Philosophy, Literary Heritage,
Language Reform, and Economics.
2,023 pages, 12 vols. (12"x18").

5. Documents on Inner Mongolia: Selected U.S. Intelligence Reports (Declassified) on Leaders and Factions, 1946-1949.
x+74 pages.

6. List of CCRM Monographic Titles with Their Library of Congress Catalog Card Numbers and Call Numbers.
59 pages.

Members serving on the Center's Advisory Committee during 1972 were:

Philip J. McNiff, Chairman (Boston Public Library)
John Israel (University of Virginia)
Ying-mao Kau (Brown University)
Frederick W. Mote (Princeton University)
Warren M. Tsuneishi (Library of Congress)
Eugene Wu (Harvard University)

Beginning in December 1972, Dr. Edwin G. Beal, Jr., of the Library of Congress, succeeded Dr. Tsuneishi.

P. K. Yu, Director

January 17, 1973

APPENDIX E

OFFICE OF UNIVERSITY LIBRARY MANAGEMENT STUDIES

Second Annual Report - 1972

I. Introduction

Improving management methods and skills is an increasing concern of the academic library. This need for management improvement is brought about by the pressures for change at work in higher education. The Office of Management Studies sees its role in this environment as a stimulator and as a synthesizer: stimulator of interest in developing methods for improving library management and synthesizer of new or improved approaches to the management of research libraries.

This office is committed to the investigation of the management problems of academic libraries and the search for solutions to these concerns. The office has completed its second year of activity, pursuing this commitment to improving research library management. While the first year of operation focused on the Columbia Study, the second year emphasized the development of a new management tool - The Management Review and Analysis Program.

This program provides a research library with guidelines for use in performing an internal study and evaluation of management policies, of library management attempts to pinpoint the causes of operational problems and to guide the library in making changes that improve library services and resources. The study focuses on the top management responsibilities and decision-making processes of the library. Major principles of management are listed in areas such as planning, policy development, organization and personnel. These principles, derived from experience and standard practice, suggest sound approaches for the management of research libraries. In addition, the success of a library's present approach to these several principles can be assessed in the light of the performance criteria presented. Libraries participating in the program receive a two volume study manual which outlines the procedures, tasks, and products of the study. Furthermore, the office provides these libraries with a series of six training sessions in order to assist in interpreting the manual and solving local difficulties.

The office activities in 1972 also encompassed a variety of efforts in research development, dissemination of information, management development, and consultation. The major accomplishments in each of these areas are described in the appendix to this report.

II. Background of Office Program

The management effort of the Association began with the idea of addressing the research library's need for increased management expertise and providing assistance to individual libraries engaged in improving their own management methods. It is apparent that this effort has been successful. Appropriate methods have been developed or adapted and their usefulness has been demonstrated. Libraries in turn have responded enthusiastically to the opportunity which this program presents.

As the Office of Management Studies continues to develop its programs it will focus on matters which are of special concern to large academic libraries and will attempt to avoid duplicating work performed by other agencies. The office, furthermore, assumes the perspective of the library director in addressing the management concerns of libraries. By looking at the top management problems rather than detailed operational specifics, it is hoped that the office can produce more generalized results that can be used by a variety of institutions, while at the same time, advancing the state of research library management. For example, rather than designing an improved management system for an individual library's circulation department, the office has developed a means of evaluating the way circulation and other departments are operated in any library, and in this fashion, determining means of improving the departments' policy making, staff development and supervisory processes.

The office does not advocate a particular management style or suggest that there is a single best way to administer a library. Instead, it is interested in making available a wide-range of alternative management approaches that may be employed according to individual needs. The selective involvement of the office in three projects - The Columbia Study, The Cornell Planning Effort and the MRAP exemplifies this. Each of these efforts is designed to promote improved library management approaches on the particular issue of planning. While a style of management may not be recommended in toto, these projects indicate that there are some generally valid approaches to the concerns of research library management.

III. The Next Three Years and Beyond

During the next year the office will concentrate on two major efforts: first, the test, revision and operation of the Management Review and Analysis Program, which is described in the appendix to this report; second, the proposed project to develop a system for formulating and using policy as a management tool in a research library. The expected product of this effort might be described as a Policy Manual or Administrative Manual that would present a system of policies in the areas of instruction, research, collections, access to services and materials, staff resources, library organization, and overall management. Model statements will be designed and questions for local interpretation raised in the context of such a manual.

Progress on this project has been made with the preparation of an Occassional Paper, which will be issued shortly. The Columbia University Libraries new planning office is also making progress in this area.

Future activities of the office will continue to draw on the experience of The Columbia Study, The Management Review and Analysis Program, and related projects in order to make the findings available to other libraries. This calls for a project orientation for the office; i.e., the conduct of studies that will lead to the development of management tools. Project orientation in time will shift to a service orientation based on the products of the office. For example, this will involve the operation of such a program as the Management Review and Analysis Program and the conduct of workshops explaining the use of management tools prepared by the office.

This shift in emphasis over the next three years will coincide with a move toward integrating the costs and activities of the office into the regular activities of the Association. Steps have been taken toward this goal by securing ARL board approval to finance a part of the operating expense of the office over the next three years.

Another anticipated shift in office activity will be a move toward promoting the use of management tools and procedures rather than concentrating on research and development. The need for research, including experimentation, is a significant part of the office future, but in view of the limited capacity of the office, it is doubtful that research can be given major emphasis. The opportunity for accomplishing the research goals of the Office of Management Studies would seem to depend rather on the identification of problems and assistance in formulating, funding, and monitoring the necessary studies.

Furthermore, the office expects in the next three years to move toward the issues of collective management. As previously noted, present emphasis has been and is currently on improving the management of individual libraries. With progress being made here, it is reasonable to expect that the attention of the office will turn to strengthening the collective management capacity of research libraries. In the long run, this will be where the most dramatic progress can be made.

A final shift in emphasis is the need to move more aggressively into the problem of management development. There is a growing need to improve the preparation and training of librarians for top administrative positions in large academic libraries. Although, the MRAP as well as other office activities presently encompass the objectives in this area, this concern will probably increase in importance in the future.

IV. Problems and Questions of Interest

Warren J. Haas, Chairman of the ARL Commission on Management, the chief advisory agency for the office, has noted that in the past, the success of research library management has been based on the intuition and instinct of a series of distinguished librarians. This "instinct for good management" is what the office seeks to develop. In the face of increasing size, complexity, and change, better means of developing this expertise are needed. Some of the questions that the office is seeking to resolve are:

1. Who has the responsibility for developing the necessary library managers? Individual libraries? Library Schools? Professional association? How should these responsibilities be shared?

2. What are the components of effective management development?

3. How can the role of the library within the university be strengthened and enhanced?

4. In what ways can the influence of the library in the university decision-making process be improved?

5. What can be done to improve the exchange of information among libraries on improved management practices and current development?

6. How can the products and accomplishments of the Management Studies Office be extended to other academic libraries (non-ARL, collegiate, etc.)?

7. What type of evaluation of the results of the Columbia Study is needed? When?

8. Can an "instructional module" be constructed to meet the needs of libraries in applying management concepts such as objectives?

9. What is the best way of extending the research capability of the office?

10. What are the management needs of research libraries that can best be met through the activities of the office?

These questions illustrate the issues with which the office is concerned. The nature of the activities that will satisfy those issues require that the office move in the future toward a substantial commitment in the areas of continuing education, management development, project coordination, and information exchange. This will require a greater service orientation

rather than a studies orientation. It may also involve a new focus on cooperative management interests rather than on simply improving individual libraries. Above all, the intent of this office, is to emerge as an action agent for library management improvement.

Submitted by:

Duane E. Webster, Director
Office of University Library
Management Studies

Approved by:

Stephen A. McCarthy
Executive Director
Association of Research Libraries

APPENDIX I: Program activities of the Office of University Library Management Studies

The first year of operation of the Office of University Library Management Studies focused on the completion of a major research project - the Study of Organization and Staffing of the Columbia University Libraries. The success of the office in reaching the initial objectives of operation are discussed in the first annual report. During the second year office activities expanded to encompass four basic programs: Research and Development, Publications and Dissemination of Information, Management Staff Development, and Visits, Consultation and Assistance to Individual Libraries and Groups of Libraries.

The appendix will briefly review major objectives and accomplishments in each of these areas.

1. OFFICE PROGRAM OF LIBRARY MANAGEMENT RESEARCH AND DEVELOPMENT

The program of research and development has been the heart of management office activities. This program produces the results that allow the subsequent efforts in publications, workshops, and consultation to operate. The objectives in this area are:

- to identify management problems commonly encountered by research libraries and provide assistance in solving them
- to conduct and promote research into the fundamental research library management issues
- to develop effective approaches and systems that can be used by research libraries to improve management

a. Management Review and Analysis Program

The major project of the office during the second year of operation was the design, preparation and testing of a Management Review and Analysis Program (MRAP). The idea behind this developmental effort was to capitalize on the Columbia Study both in terms of the methodology of studying a research library organization and the management principles and concepts that were applied by the consulting firm. To do this, the Management Studies Office developed a self-study program that individual libraries can apply to their own management and operation. Through this process of analysis the self-study will lead to an identification of management improvements that will contribute to the programs of library services and collections.

The result of these efforts is the Management Review and Analysis Program. Libraries participating in this program receive a management manual from the Association that provides a framework for conducting the self-study. The manual will include: 1) suggestions for study team composition, 2) step-by-step procedures, 3) schedules of work activity, 4) analytic tables for use in probing the several management areas, and 5) a description of results expected. Completion of the entire effort will require a period of six months.

At key points during the study, training sessions are held at the ARL offices in Washington, D. C. They involve the chairman of the study team from each participating library. The intent of these sessions is to provide assistance to the library as it conducts the study. The training sessions try to answer the variety of questions that occur as the study progresses. These sessions are small discussion groups-not more than ten-that will meet with the director of the Management Studies Office for the purpose of exchanging information on difficulties encountered and progress made in the preceding month and of assisting in the preparation for the next month's scheduled work requirements.

Presently, the MRAP is being applied in three institutions (Iowa State, Purdue and Tennessee) as a means of testing this innovative program and determining any possible changes that are needed prior to making the program generally available.

b. The Study of Organization and Staffing of the Columbia University Libraries

The basic work on this project was completed in the first year, although some additional effort on this project was required by the office. This included: meetings with Columbia's staff and advisory committee to revise and refine the recommendations, preparation of a summary report for immediate distribution, participation in discussions and conferences concerning the study, and keeping aware of the progress of the Columbia Libraries in the implementation of the study recommendations.

c. Office Plan for Development

A component of the Columbia Study was the requirement to prepare a program plan for the Office of Management Studies. This plan was prepared by the consulting firm with the assistance of the office director. It has provided the framework for the activities completed this year and activities envisioned over the next three years. A summary of this plan was distributed to the membership and made generally available.

d. Survey of Recruitment, Staff Development and Minority Employment Practices of Research Libraries

This survey was conducted as a means of determining present practices and problems of research libraries in areas of recruitment, staff development, and minority employment. It was designed as a telephone interview of the seventy-eight university members of ARL. Completed over a three month period, it produced an array of information that will be used to develop a program response to the problems identified. Several immediate actions are envisioned: a study of performance appraisal as an aspect of staff development is planned, the office director has been named as liaison with the Staff Development Committee of the AALS, and a study of presently operated university library minority employment projects is being considered. A tabulation of affirmative action plans was compiled. OMS publications were sent to the several black colleges.

e. Cornell Planning Project

The office director participated in a limited fashion in a Cornell Library Project that is applying the American Management Association Long-Range Planning Program to a research Library. Cornell expects the project to provide a means for dealing with difficulties of achieving an effective planning process in libraries.

f. Study of the Administration and Uses of Machine Readable Data Bases

This project was developed as a proposal to the National Science Foundation by the office. Its purpose was to identify and study present approaches to the organization, decision-making processes, policies and planning, staffing and financing of the specialized information services provided from computerized data bases. The office proposal was successfully merged with a NELINET proposal to establish a regional information center to utilize such services. This new project is now being reviewed by the NSF.

g. CLR Management Fellowship

The office, at the invitation of the CLR, is selecting a candidate for the CLR Fellowship and designing a project to propose for a CLR Management Fellowship. The intent of this project is to contribute to the fellowship objective of mid-career librarian development by securing individual staff from member libraries to work in the office on one of the research projects.

2. OFFICE PROGRAM OF MANAGEMENT PUBLICATIONS AND DISSEMINATION OF INFORMATION

The program of management publications and dissemination of information is intended to capitalize on the progress and developments recorded in the research programs, through publication of the results. Publications include

reports of specific management projects, such as the Columbia Study, reviews of trends and developments in the several broad management areas, and the discussion of specific problems and issues. In addition, it is expected that the program will eventually go beyond preparing and distributing materials to providing comments on developments in the field of library management. The objectives aimed at in this area are:

- to secure and maintain an information file about contemporary management approaches
- to prepare and distribute materials that will provide information about desirable approaches and systems that can be used to improve management in large research libraries.

The efforts of the office during this year concentrated on developing and distributing publications concerning office efforts. These included:

a. The Summary of the Study of the Organization and Staffing of the Columbia University Libraries which provides a brief review of the results of a case study research project aimed at investigating and applying contemporary management approaches in a research library setting was prepared and distributed.

b. Full Report of the Columbia Study was contracted to be published by Redgrave Information Resources, Inc. by March 1973.

c. Problems in University Library Management, a survey report which identifies library management problems and provides suggestions to approaches to their solution and sets priorities for action, was reprinted and translated into Japanese by Mr. Anzai.

d. Summary of the Plan for Development for the Office of University Library Management Studies, which reviews the objectives and research interests of this office, was produced and distributed.

e. Planning Aids for the University Library Director, the first of a series of Occasional Papers which focuses on the problems of securing a productive and continuing planning program in university libraries, was prepared and distributed.

f. Management Review and Analysis Program Manual, which in a test draft format provides a framework for conducting an analytical self-study of library management, was developed. A brochure describing the Management Analysis and Review Program was also produced and distributed.

Several of these office publications were distributed to key library school professors as a means of ensuring that materials generated during the course of the office activities reach the library faculty that have an influence on the way library managers are taught. In addition, the same materials were sent to a small group of black colleges and universities. All office publications are offered for sale to interested parties. Most are placed in the ERIC/Clearinghouse system to ensure wider distribution.

3. OFFICE PROGRAM OF MANAGEMENT DEVELOPMENT

The objective of this program is to sponsor and participate in meetings where research library representatives can be introduced to and gain increased understanding of approaches and systems used to improve library management. While not a major emphasis at this point in the operation of the office, the office director has been involved in a number of workshops and conferences during this year as a means of disseminating information on some of the activities and accomplishments of the office. These have included:

a. ARL Membership Meetings

The office director organized, planned and participated in two program elements at the May 1972 Membership Meeting. One, on the Columbia Study, featured a discussion of the major issues addressed and recommendations made by Booz, Allen, and Hamilton Study Team. The other involved a presentation on the Management Review and Analysis Program, followed by a general discussion. This exchange produced a strong interest on the part of fifteen libraries to participate in the tests of the program.

b. Planning and Budget Officers

A workshop was sponsored by the Office in Washington to examine the Joint University Libraries program costing system developed with a grant from the Council on Library Resources. Nine officers attended. These individuals represented top library administrators charged with organizational responsibility for planning and translating long-range plans into short-term budgets.

In addition, the Office completed a survey of all member libraries concerning the use or projected use of such a position. The response to that questionnaire indicated a growing interest on the part of the directors with the issue here - namely: The use of specialized management skills to ease the load of the library director and to better accomplish an effective library program. The immediate result of this survey will be to enlarge the small group of Planning/Budget Officers and to include these additional officers in the next meeting of the group which is planned for December at Cornell to look at their use of the AMA Planning Program.

c. Presentation to the Potomac Chapter of ASIS

The Office Director spoke to the Potomac Chapter of ASIS on the topic of Information Program Planning and Management Development. This discussion looked at the approaches to this topic proposed in the Columbia Study.

d. Presentation to the University Libraries Section of ACRL

The Office Director addressed a large group at the Annual Chicago Meeting on the topic of the management interests of the ARL. The intent of the presentation was to note the development of efforts on the part of research libraries to upgrade and attempt to upgrade their management methods and systems and introduce innovations.

e. MRAP Training Sessions

One of the purposes of these training sessions is to provide a developmental experience for the study team leader. As suggested earlier, this experience is tied to the motivating need to complete a self-study at the institution and thus to learn and apply the techniques presented.

4. OFFICE PROGRAM OF VISITS, CONSULTATION AND OTHER ASSISTANCE TO LIBRARIES

The objective of this program is to help solve the management needs and problems of individual libraries through direct contact, consultation, and advice. The hope here is that a two-way active exchange can be fostered that allows a degree of personalized assistance while receiving a stimulating view of the practical problems and requirements of library operation. A part of the effort in this area during the past year was the initiation of a series of on-site visits to member libraries. Twelve libraries were visited in this fashion. In addition, special visits intended to discuss and apply the MRAP were completed at three institutions.

An aspect of this program is the valuable assistance provided by the advisory groups working with the office efforts during this year. The ARL/ACE Joint Committee completed its work with the Columbia Study and the ARL Commission on Management agreed to work directly with the office to help develop and advise on major efforts of the office. During the year, the Commission has met monthly with the Office Director.

APPENDIX F

REPORT OF THE COMMISSION ON MANAGEMENT

At its most recent meeting the Commission on Management discussed several specific topics and then went on to consider in more general terms possible new activities for the months ahead. As for the specific items, the Commission has suggested that the Board continue ARL affiliation with the ARL/ACRL Joint Committee on University Library Standards, chaired by Robert Downs, until such time as that Committee views its work as completed. On a second matter, the Commission recommended that the Board maintain working ties with Committee Z-39 of ANSI by continuing ARL representation to that Committee, but with no assumption of responsibility for Z-39 operations implied in the continuing affilation.

Moving on to more general topics, the Commission, with the Director of the Office of Management Studies, is investigating several projects for the future. First, serious consideration will be given to the possibility of sponsoring, perhaps in cooperation with another organization such as the American Council on Education, a series of regional workshops focused on major management issues. One possibility for such a workshop is a short (one-to-two day) session involving libraries and university academic planning people to consider the process of formulating library objectives in the context of academic goals. If these discussions proceed to the point where the possibility for a summer session seems good, further word will go to members.

A second topic considered by the Committee concerns creation of a center for information on management systems and procedures. This is really an extension of an existing service, stemming from the feeling of the Commission that a great deal of work is now being done in many member libraries and that a number of exceptional products are resulting from these individual efforts. These products are concerned with such diverse topics as personnel, classification systems, collective bargaining procedures, affirmative action programs, etc. It seems important at this point to capitalize on these products by bringing together in one place (probably in the ARL Management Office), a topically-organized working file of publications and other documents. It is possible that the best work in a number of subject areas might be synthesized and published as a kind of state of the art document in one or another of the Management Office series.

A third topic considered of continuing importance by the Commission relates to the need for more effective planning among the several organizations and institutions concerned with research library problems. We view the work now going on to assess ARL goals as being a step in the right direction and hope that out of this effort will come improved capabilities for integrating major library programs on a national level.

Finally, we note that the annual report of the Director of the Office of Management Studies has been distributed. This report outlines in substantial detail the on-going work of the Office, emphasizing especially the management analysis and review program now in a testing phase and one of the principle operating programs of the Office. We note with much satisfaction the continuation of the financial support for the work of the Office by the Council on Library Resources, and feel that the Office during these first years of its existence, has already had a substantial impact on the way research libraries operate. There is much evidence that the process of continuing assessment and refinement of library management is now an integral part of both the ARL program and each library member of ARL.

Ben Bowman
Richard De Gennaro
Warren J. Haas, Chairman

January 29, 1973

APPENDIX G

REPORT OF THE AD HOC COMMITTEE ON STATISTICS

Background

It is now one year since ARL's membership approved adoption of criteria for membership that required collection of statistics on: 1) the number of currently received serial and journal titles; 2) the average annual number of PhD's (not including other doctorate degrees) awarded by the university over the past three years; and 3) the annual average number of fields in which PhD's (as above) were awarded over the previous three years. (Report of the Membership Committee, Chicago, January 22, 1972).

Included in the adopted recommendations were: 1) provisions requiring that, "the quantitative criteria [voted by the membership] including "current" medians would be published; and 2) the recommendation, "that the criteria for membership be voted by the members and reviewed every two years."

For the purpose of providing the membership an interim report on the "new" statistics and a reminder of the first (Jan. 1974) required review of membership criteria, the Committee on Statistics met last month. It reviewed the 71-72 statistics, especially with regard to the procedures and means for dealing with the new quantitative criteria required for membership i.e., establishing medians of the key statistics, using the HEGIS Report, and using the UNESCO recommended definition of "Periodicals".

Report

The Committee's findings and recommendations are: First, though it recognizes the difficulties that some Libraries will have with the UNESCO definition because of locally established principles of file organization or policies and procedures for handling various kinds of numbered series which appear in regular or periodic sequence, it finds that no more than three or four letters about this definition have been filed by the membership. It must be observed, however, that pages in Academic Library Statistics devoted to footnoting have increased from seven in the 70/71 edition to eight and a half in the current edition.

Second, it is obvious to the Committee and to the Executive Director, as it must be to the membership, that use of the HEGIS Report leads to some anomalies. The libraries of some medium-sized institutions report, for example, more PhD Fields than do the libraries of some much larger institutions. However, the Committee feels that this list is the best one available for reporting PhD Fields. Letters about use of the HEGIS Report have numbered, so far, no more than four or five.

Third, the Committee agreed that the December 18th memo entitled Criteria For Admission of University Libraries to Membership in the Association of Research Libraries, 1972-73 distributed to members and inclusion of the same information in the Newsletter complied with the requirement for publication. The Committee also agreed that the Executive Director should also respond to inquiries about membership criteria and will supply this information to libraries that have recently made such inquiries.

Fourth, the Committee did review a number of possibilities for changing the format of Academic Library Statistics. In size, arrangement, and amount of data displayed it seems to be making a usable, clear, and acceptable presentation.

The Committee's recommendations are:

I. That no change of format be made in Academic Library Statistics for 1972/1973.

II. That, despite obvious difficulties, using the UNESCO definition for Periodicals and the HEGIS Report for PhD Fields is a practical means for establishing medians in two of the new quantitative criteria required for membership. Therefore, no change in definitions is recommended for 1972/1973.

III. That the Newsletter should request members to notify the ARL office of libraries that might qualify for ARL membership.

Finally, the Committee's experience to date confirms what we all know about "statistics". They are useful, (even if somewhat habitual); not 100% reliable; and they tend to defy standardization. Accordingly, the Committee on Statistics would remind the Membership that making any significant changes in definitions, procedures, or kinds of data compiled by the ARL Office would require at least a two year period in which to work.

Gustave Harrer
John Heussman
Ben Bowman, Chairman
January 22, 1973

APPENDIX H

DRAFT STATEMENT ON ARL MISSION

[The outline below was distributed as a part of the report of the Committee on Role and Objectives. Discussion of the outline is presented in the account of the Business Meeting in these Minutes].

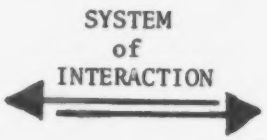
* * * *

ASSOCIATION OF RESEARCH LIBRARIES

OBJECTIVES

I. Defining the Problem

Society by its nature has a need for the record of its experience. The system that provides the access to that record has the opportunity to not only satisfy an important need but a potential for improving society as well.



SOCIETY RECORDED INFORMATION

II. Some Characteristics of the Elements of the Problem

SOCIETY. While information needs are characteristic of all society, research libraries can and should be concerned with researchers, higher education, and the continuing education of the curious and creative elements of Society.

SYSTEM OF INTERACTION. A number of components of the System of Interaction link the researcher to Recorded Information. Government; publishing, broadcasting and information industries; education; libraries; are some of the principal ones. The linking of researchers with Recorded Information via research libraries is the concern of ARL.

RECORDED INFORMATION. The entire record of Society's experience is potentially useful. However, it should be understood that at any point in time some parts of the record will be more useful than others.

III. The Mission of the Research Libraries

Identify, preserve and provide access to the recorded information needed by researchers.

IV. The Mission of ARL

Strengthen and extend the capabilities of individual research libraries; promote collective action by research libraries and responsible components of The System; and advance within its competence, the interests of the research community.

V. Objectives of ARL

Summary of Discussion. The list of overall objectives should not number more than ten. They should extend the concepts contained within the mission statement of ARL. They should be stated within a context of understanding that forces for change will inevitably affect the responsibilities and opportunities for research libraries and ARL. The Objectives of ARL might be developed around a small number of specific activities.

STUDY INFORM INFLUENCE

OPERATE PROMOTE

APPENDIX I

SEIDMAN & SEIDMAN *Certified Public Accountants*

OFFICES THROUGHOUT THE UNITED STATES

OTHER PARTS OF WORLD
BINDER-SEIDMAN-THORNE INTERNATIONAL GROUP

1200 EIGHTEENTH STREET, N. W
WASHINGTON, D. C. 20036
202/293-1570

January 11, 1973

Board of Directors
Association of Research Libraries
Washington, D. C.

We have examined the statement of assets and liabilities of the Association of Research Libraries as of December 31, 1972, and the related statement of cash receipts and disbursements of the general operating fund for the year then ended. Our examination was made in accordance with generally accepted auditing standards, and accordingly included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances.

The statements have been prepared on the cash receipts and disbursements basis, and, as a result, omit material assets and liabilities. Accordingly, they do not, in our opinion, present financial position and results of operations as they would appear had generally accepted accrual basis accounting principles been applied in their preparation.

The financial statements of the Foreign Newspaper Microfilm Project have in prior years been furnished us by other auditors. To date these financial statements for the year ended December 31, 1972 have not been furnished.

Because of the omission of the Foreign Newspaper Microfilm Project results, which we consider to be material, we do not express an opinion on the accompanying financial statements.

Seidman & Seidman

ASSOCIATION OF RESEARCH LIBRARIES

STATEMENT OF ASSETS AND LIABILITIES
DECEMBER 31, 1972

ASSETS

Cash in bank and on hand	$ 44 181
Cash in savings account	14 141
Cash held by others - agency fund, as at 12/31/71	98 618
Savings certificate	224 018
Travel advances to employees	-
Deposits	485
TOTAL	$381 443

LIABILITIES

Payroll taxes withheld	$ 3 987
Special program funds for which the Association is accountable to the grantors	161 270
TOTAL LIABILITIES	165 257

FUND BALANCES

Foreign Newspaper Microfilm Project agency fund, as at 12/31/71	98 618
General operating fund	117 568
TOTAL FUND BALANCES	216 186
TOTAL	$381 443

ASSOCIATION OF RESEARCH LIBRARIES

GENERAL OPERATING FUND
STATEMENT OF RECEIPTS AND DISBURSEMENTS
YEAR ENDED DECEMBER 31, 1972

RECEIPTS:	
Dues	$132 000
Publications	6 566
Royalties	435
Interest	16 034
Miscellaneous	9
Total receipts	155 044
DISBURSEMENTS	198 368
Less administrative expenses charged to special program funds	33 106
Net disbursements	165 262
EXCESS OF RECEIPTS OVER DISBURSEMENTS	(10 218)
GENERAL OPERATING FUND BALANCE - BEGINNING	127 786
GENERAL OPERATING FUND BALANCE - ENDING	$117 568

SUPPLEMENTAL MATERIAL

Our examination of the financial statements included in the preceding section of this report was directed to an expression of our opinion on those statements taken as a whole. The supplemental material presented in the following section of this report has been subjected to certain audit procedures applied in connection with our examination of the financial statements. This information, while not considered necessary for the fair presentation of the statements of assets and liabilities and receipts and disbursements of the Association, is, in our opinion, fairly stated in all material respects when considered in relation to the financial statements taken as a whole.

Seidman & Seidman

Certified Public Accountants

Washington, D. C.
January 11, 1973

ASSOCIATION OF RESEARCH LIBRARIES

GENERAL OPERATING FUND
SCHEDULE OF DISBURSEMENTS
YEAR ENDED DECEMBER 31, 1972

Board and committee expenses	$ 8 744
Conference expense	7 336
Dues	956
Equipment purchases	219
Hospitalization	1 626
Insurance and bonding	3 110
Miscellaneous	568
Payroll taxes	3 283
Periodicals and subscriptions	711
Printing	7 807
Professional fees	37 592
Postage and freight	2 878
Rent	6 455
Retirement plan	10 860
Salaries	90 341
Staff travel and expenses	3 106
Stationery and supplies	8 942
Communications	3 834
TOTAL	$198 368

ASSOCIATION OF RESEARCH LIBRARIES

SPECIAL PROGRAM FUNDS
SCHEDULE OF RECEIPTS AND DISBURSEMENTS
YEAR ENDED DECEMBER 31, 1972

	Center for Chinese Research Materials	Slavic Bibliographic and Documentation Center	Inter-Library Loans	Brasenose II Conference
RECEIPTS:				
Grants	$ 63 970	$49 490	$37 682	$13 500
Sale of publications	111 073	347		
Other				
TOTALS	175 043	49 837	37 682	13 500
DISBURSEMENTS:				
Allocated administrative expenses	13 702	7 500	395	500
Consulting fees		2 550	300	
Contractor fees				
Cost of publications	63 723	4 379		
Employee benefits	7 042	4 815		
Equipment purchases	294			
Equipment rental				
Miscellaneous	141	15	10	
Office expense	3 884	287		
Payroll taxes	2 439	1 299		
Periodicals and subscriptions	85	57		
Postage	2 289	227		
Printing	1 877		521	
Rent	6 398	3 146		
Salaries/investigator fees	65 229	28 021		
Telephone	689	315		
Travel	2 202	5 590	217	9 083
TOTALS	169 994	58 201	1 443	9 583
EXCESS OF RECEIPTS OVER DISBURSEMENTS	5 049	(8 364)	36 239	3 917
FUND BALANCE -BEGINNING	94 093	53 771	(36 239)	-
	99 142	45 407	-0-	3 917
LESS REPAYMENT TO GRANTOR	-	45 407	-	-
FUND BALANCE - ENDING	$ 99 142	$ -0-	$ -0-	$ 3 917

Inter-Library Loans (U.S.F.)	Inter-Library Loan Survey	Microform Technology Project I	Microform Technology Project II	Preservation Library Materials	University Library Management Study Office	National Serials Pilot Project	Total
$50 000	$ -	$5 655	$7 087	$1 855	$55 000	$ -	$284 239
					1 130		112 550
							-
50 000	-	5 655	7 087	1 855	56 130	-	396 789
		5 516	1 101	299	5 000	(907)	33 106
525		266			1 806		5 447
6 302							6 302
							68 102
					4 192		16 049
					363		657
							-
					1 146		1 312
		156	122	288	5 629		10 366
					749		4 487
							992
					850		3 015
					499		7 983
					5 585		10 837
					1 293		
925	1 486		2 500	1 336	28 624		128 121
					2 522		3 526
					3 568		20 660
7 752	1 486	5 938	3 723	1 923	61 826	(907)	320 962
42 248	(1 486)	(283)	3 364	(68)	(5 696)	907	75 827
-	-	283	(3 364)	68	23 145	(907)	130 850
42 248	(1 486)	-0-	-0-	-0-	17 449	-0-	206 677
-	-	-	-	-	-	-	45 407
$42 248	$(1 486)	$ -0-	$ -0-	$ -0-	$17 449	$-0-	$161 270

APPENDIX J

Vol. 32, No. 3 January 19, 1973

SEMIANNUAL REPORT ON DEVELOPMENTS AT THE LIBRARY OF CONGRESS JANUARY 1973

LEGISLATION RELATING TO THE LIBRARY

LC Appropriations for Fiscal 1973

Public Law 92-342, an Act making appropriations for the Legislative Branch for fiscal 1973, made a direct appropriation of $78,291,450 to the Library of Congress.

An appropriation of $36,170,000 for Library of Congress Salaries and Expenses was made. This amount will allow for 32 additional positions in the Administrative, Processing, and Reference Departments, and the Law Library. This includes an appropriation of $7,667,138 for the National Program for Acquisitions and Cataloging.

For Salaries and Expenses, Copyright Office, $5,041,000 was appropriated, which will provide for 18 new positions to operate the new registration system for sound recordings pursuant to P.L. 92-140.

For Salaries and Expenses, Congressional Research Service, an appropriation of $9,155,000 was made, an increase of $1,989,000 over fiscal 1972 appropriations. This increase will provide for 86 new positions and for the establishment of a reference center in the Senate Office Building.

An appropriation of $10,275,000 for the distribution of catalog cards was approved.

An appropriation of $1,118,650 for Books for the General Collections was made. A total of $181,500 was appropriated for Books for the Law Library.

For the National Program for Books for the Blind and Physically Handicapped, an appropriation of $8,892,000 was made. This is an increase of $337,000 over fiscal 1972 and will provide for additional reading materials and for four new positions.

An appropriation of $2,903,000 was made for the P.L. 480 Program. Of this, $2,627,000 is in U.S.-owned foreign currencies and $276,000 is hard-dollar support.

For furniture and furnishings, $4,435,300 was appropriated, $4,000,000 is for furniture and equipment for the James Madison Memorial Building, and $435,300 is for recurring needs for furniture and equipment.

The sum of $120,000 was appropriated to enable CRS to assist the Parliamentarian of the House of Representatives to revise and update Hinds' and Cannon's Precedents.

Under funds appropriated to the Architect of the Capitol, $1,531,400 was appropriated for Library Buildings and Grounds. Included in this are funds for an architectural and engineering study for modifications to the Coolidge Auditorium.

Supplemental Appropriation for Equal Employment Opportunity Program

Public Law 92-607 made a supplemental appropriation for fiscal 1973 of $150,000 to the Library of Congress in order to implement provisions of the Equal Employment Opportunity Act of 1972. The funds will assist the Library in expanding its training, recruitment, and counseling programs, while at the same time establishing a core group of permanent full-time positions to staff the Equal Opportunity Office.

A principal objective of expanding the counseling and training programs will be to provide staff members with added opportunities to reach their full potential and as a result advance in grade, responsibility, and achievement.

Regulations and the Plan for the Equal Employment Opportunity Program are in draft stage. Employee groups, Equal Opportunity Officers and Counselors, human relations committees, and supervisory personnel have been given an opportunity to review and comment on them.

Copyright Legislation

Senate Joint Resolution 247, continuing until December 31, 1974, renewing copyrights that would otherwise expire before that date, was passed by the Senate and House and approved by the President on October 25, 1972, becoming Public Law 92-566. This is the eighth in a series of acts which together extend until December 31, 1974, those renewed copyrights that would otherwise have expired at the end of the regular 56-year term between September 19, 1962, and December 31, 1974.

In introducting S.J. Res. 247 on June 20, 1972, Senator John L. McClellan, Chairman of the Senate

subcommittee in chare of S. 644, the bill for general revision of the copyright law, said of that bill:

> It is apparent that adequate time does not remain in this Congress for the processing of this complex legislation. I presently know of no reason why the Subcommittee on Patents, Trademarks, and Copyrights cannot promptly report a revised bill in the next Congress. It shall be my intention to bring that bill to the floor at the earliest feasible date.

INTERNATIONAL COPYRIGHT

Ratification by the United States of the Universal Copyright Convention, as revised at Paris on July 24, 1971, was approved by the Senate on August 14, and by the President on August 28, 1972. The instrument of accession by the United States to the revised UCC was deposited with UNESCO on September 18, 1972. Three other countries had preceded the United States in depositing their instruments of accession: the United Kingdom, France, and Hungary. Twelve accessions are required to bring the revised Convention into force.

THE EQUAL OPPORTUNITY PROGRAM

September 7, 1972, marked the first anniversary of the expanded Equal Opportunity Program. From September 1971 through November 1972, 132 cases were resolved indicating considerable activity in the office. The fact that 82 cases were resolved at the Counselor level without having to go through the Officers indicates that the program is operating as it was intended in resolving most complaints at that level.

A revision of the regulation under which the program operates is now being reviewed in light of the experience that has been gained during the year.

Counselors and Officers have been devoting time and effort to obtain additional training to better enable them to perform their role in the program. Those who have attended additional courses have cooperated in sharing the information with others in the program.

Consideration is now being given to more positive publicity to staff about the achievements of the program, and informal briefings are continually being held in many areas to bring specific Equal Opportunity Program information directly to the staff.

JAMES MADISON MEMORIAL BUILDING

Although progress on the excavation and foundation work for the James Madison Memorial Building was slowed by adverse weather conditions and by strikes during the past six months, good progress was made in the over-all planning of the building.

By the end of the year the Phase I contractor had essentially completed the foundation work and was involved in cleaning the site in preparation for the Phase III contractor.

The Phase II contract, quarrying and fabrication of the marble and granite for the exterior of the building, awarded in December 1971, continued at the quarries, with the first stone delivered to the storage yard of the Architect of the Capitol in October 1972.

Meanwhile, the final plans for Phase III, construction of the shell of the building and placement of the exterior marble, were completed in the fall of the year. Bids were received from three contractors on November 28, 1972, and the Phase III contract awarded to the George Hyman Construction Company, on December 7, 1972. Hyman is expected to be at work on the site about the first of January 1973.

Each of the three contracts awarded for the building to date has been substantially below the estimated cost. The Phase III contract estimated at $25,722,277 was awarded for a total of $24,789,000.

During this period, planning for Phase III took precedence over planning for Phase IV. With award of the Phase III contract, the efforts of all involved in the planning will be extended toward expediting planning for Phase IV, which includes all electrical, mechanical, and interior finishing work on the building. According to the present official schedule the contract for Phase IV is expected to be awarded about September 1, 1973. Completion of construction is scheduled for December 1975.

Work on the interior furnishings for the building, being done in-house by the Library, is progressing on schedule. Within the past six months a model or test area has been completed at the Pickett Street Annex, where model offices, lighting, and stack arrangements are being evaluated. A new and improved compact bookstack installation, designed by the Building Planning Office, is now in the mock-up state and will be tested at the Pickett Street Annex. Other work on the interior furnishings for the building is in progress and is expected to be completed on schedule.

Beneficial occupancy of the Madison Building for purposes of furniture and equipment installation is

expected about August 1975, and the Library expects to begin the move of those units scheduled to occupy the building early in 1976.

ACQUISITIONS

National Program for Acquisitions and Cataloging

The NPAC appropriation for fiscal 1973, as mentioned above, is $7,667,138, as compared with $7,282,000 the previous fiscal year. The increase covers the full year costs for the 1971 statutory pay raise and provides some additional funds to cope with inflation and devaluation but does not permit any expansion of the program. Funds were appropriated directly to the Library of Congress instead of being transferred from the Office of Education as in previous years. The NPAC appropriation is again included in the Library's fiscal 1974 budget request to Congress.

At the request of the National Agricultural Library (NAL), the Library of Congress is reinstating the NPAC handling of NAL's monographic purchases in Western Europe. All monographic publications selected for NAL by its dealers in the following countries will be processed through the appropriate NPAC overseas shared cataloging centers: Belgium, Denmark, France, German Democratic Republic, German Federal Republic, Great Britain, Italy, Netherlands, Norway, Spain, Sweden, and Switzerland. Preliminary cataloging copy will be prepared overseas and air freighted with the books to Washington, along with LC's own purchases from these countries. The books will then be forwarded to NAL. NAL titles not acquired by LC but reported to it by other research libraries for NPAC cataloging will then be lent to LC for complete Library of Congress printed catalog card treatment. Similar NPAC procedures have been in effect for the last several years for the National Library of Medicine's acquisitions in Western Europe.

Arrangements continue whereby participating libraries report to LC titles for which they fail to find cataloging data at first search in their depository files. A total of 63,246 such reports were searched during the first six months of fiscal 1973. Of these, 79.7 percent were either: (1) already cataloged; (2) in the process of being cataloged; or (3) on order. The remaining 12,837 titles were promptly ordered for cataloging under NPAC procedures.

A majority of participating libraries preferred the title rather than main entry arrangement for depository sets. The change over was initiated at the start of calendar year 1973.

Public Law 480 Program

The 10th anniversary of the Library of Congress Special Foreign Currency (Public Law 480) Program was observed at a luncheon in the Library on November 9. Among the guests were U.S. Representative John Dingell of Michigan, whose amendment to Public Law 84-480 enabled the Library to initiate the Program in 1962, and Mortimer Graves, Executive Director-Emeritus of the American Council of Learned Societies, who was instrumental in formulating the idea of the program and in organizing support for it among scholars and librarians. In its 10 years of operation, the P.L. 480 Program has acquired for LC and some 350 other U.S. libraries over 16 million monographic and serial pieces.

P.L. 480 activities in South Asia continued without significant change. Responsibility for supervision of LC's Cairo office was transferred in August from Alvin Moore, Field Director of the NPAC office in Nairobi, to Robert B. Lane, Field Director of the P.L. 480 office in Karachi.

The new program for Poland, initiated at the beginning of calendar 1972, is working smoothly. By the end of the year, approximately 1,750 monographs had been selected for distribution. Participants were also given the opportunity to select additional 1971 imprints from the official export agent's catalog of titles still in stock. On the recommendation of participants, 24 serial titles were dropped from the 1973 list of standing orders and subscriptions, reducing the total number to approximately 600. Effective January 1973, six new U.S. academic libraries were added to the roster of participants, bringing the total to 18.

In the early fall, LC was informed by the Department of State that increased demands by U.S. agencies for P.L. 480 currencies to carry out their various programs in Israel and Yugoslavia had necessitated a curtailment in the amounts previously appropriated by the Congress to LC. This action dictated an immediate stop to the acquisition of Yugoslav monographs for participants and the termination of serial subscription services effective during fiscal 1973. Yugoslavia is expected to be removed from the list of "excess-currency" countries by the end of fiscal 1973 or early in fiscal 1974.

A similar suspension of monographic purchases in Israel was made in September. Subsequent review of the funds situation by the Department of State and the Office of Management and Budget resulted in the restoration of a large part of the authorized Israeli pound credits valid only for the current fiscal year.

Israel will no longer be included on the "excess-currency" list in fiscal 1974. The purchase of Israeli monographs was resumed in December. It is expected that this will continue through most of fiscal 1973 with the office terminating on or about June 30, 1973.

EXCHANGE AND GIFT DIVISION ACTIVITIES

Monthly Checklist

The editors of the *Monthly Checklist of State Publications* report that Volume 63, covering calendar 1972 listed an all-time record of 23,911 entries. This accomplishment speaks well both for the diligence of the *Checklist* staff and the excellent cooperation given to the Library by the many participating agencies of the 50 States and territories.

Non-GPO Imprints

The staff of the Exchange and Gift Division has also compiled *Non-GPO Imprints Received in the Library of Congress in 1971: A Selective Checklist.* The compilers of this checklist have requested the assistance of documents librarians and specialists in assessing the usefulness of this publication. In addition to this issue listing imprints received in 1971, the two previous numbers listed those received from July 1967 through December 1969, and those received in 1970. Each of these issues was sent to Government depository libraries. Additional copies may be obtained from LC's Card Division for $1.25 each.

For the past five years, the Exchange and Gift Division has been sending to the Superintendent of Documents copies of the non-GPO imprints LC receives. Most of these have been selected for entry in the *Monthly Catalog of U.S. Government Publications.* Consequently, LC's *Non-GPO Imprints* checklists contain entries for publications which are not listed in the *Monthly Catalog* or other established bibliographies, such as NASA's *Scientific and Technical Aerospace Reports* (STAR), the *Government Reports Announcements of the National Technical Information Service,* AEC's *Nuclear Science Abstracts,* and ERIC's *Research in Education.*

The Exchange and Gift Division would like to have substantive comments from documents librarians and specialists who are familiar with the checklists. The division specifically wants to know: (1) Do you use the checklist and if so how often; (2) Does the checklist list publications of interest and of use to your library; (3) Do you think these items deserve bibliographical listing; (4) Have you tried to obtain copies of any items listed; and (5) Are there other categories of publications which you would like to see listed.

Comments should be addressed to Nathan R. Einhorn, Chief, Exchange and Gift Division, Library of Congress, Washington, D.C. 20540.

E&G and AALL Distribution Program

The Exchange and Gift Division in cooperation with the American Association of Law Libraries (AALL) began a program in June 1972 to distribute Library of Congress duplicate State reports and session laws to member libraries of the AALL which are educational or publicly supported law libraries located in the United States.

The approximately 22,500 surplus volumes were arranged by State for listing at the Library of Congress; lists for the 50 States and U.S. Territories were prepared describing the volumes, and six separate mailings consisting of two copies of each list and an instruction sheet describing the program were sent to 639 law libraries throughout the United States.

Orders for the volumes, which are being distributed at $1 each, are now being received at AALL headquarters in Chicago. The Association has established priorities for the distribution of the volumes, which in some cases are in a limited number of copies, and has forwarded some orders to the Exchange and Gift Division. Selected volumes are sent either by motor freight collect or REA collect to the various participating libraries.

Exchanges

The Library has received a gift of 39 volumes covering various cultural topics from the National Library of Peking. The Library of Congress reciprocated with a similar gift of 52 books and pamphlets. This exchange is significant because it is the first direct dealing by the Library with any Mainland Chinese institution since the United States severed diplomatic relations more than two decades ago. While formal exchange agreements have yet to be negotiated and will depend upon higher level negotiations between the two nations, this exchange of gifts is an important first step towards revitalizing the Library's relations with the National Library of Peking.

Federal Advisory Committee Act

On October 6, 1972, President Nixon signed into law (Public Law 92-463) The Federal Advisory Committee Act concerning "the numerous committees,

boards, commissions, councils, and similar groups which have been established to advise officers and agencies in the executive branch of the Federal Government. . . ."

Among other provisions, the Act:

(1) Requires the President to make an annual report to Congress on the activities, status, and changes in the composition of advisory committees in existence during the preceding calendar year;

(2) Directs the Office of Management and Budget to establish a Committee Management Secretariat, "which shall be responsible for all matters relating to advisory committees;"

(3) Requires each agency head to establish uniform administrative guidelines and management controls for advisory committees established by the agency, consistent with OMB directives;

(4) Sets up the procedures to be followed by advisory committees in conducting their business; and

(5) Provides that the Library of Congress shall receive a copy of the charter of each new advisory committee, as well as copies of the reports of every advisory committee including, where appropriate, background papers prepared by consultants.

These reports will be made available to the public, until further notice, in the Library's Stack and Reader Division's Special Format Collection.

Order Division Activities

The Order Division revised, expanded, and reissued its *Guidelines* for NPAC dealers and LC overseas offices to reflect changes and refinements in the NPAC Program and to further clarify the relationship between the requirements of the NPAC blanket order and the blanket orders charged to other appropriations.

The Order Division Automation Project staff of the MARC Development Office has issued *Order Division Automated System,* a summary description of the Order Division Automation Project at the Task 2 level. A limited number of these reports are available to interested libraries upon request from the Central Services Division, Library of Congress, Washington, D.C. 20540. Whereas Task 1 and 2 of the Order Division Automation Project dealt with the computer-produced order forms for new, regular, and subscription orders and file management and control subsystems respectively, Task 3 is concerned with fiscal procedures and Task 4 with the maintenance of the master subscription order file. After commencing Task 3 in late 1972 it was decided that it was necessary to pursue Task 4 before completing Task 3 and the design of Task 4 is presently underway.

Significant milestones observed in recent months were the cancellation of the last remaining Farmington Plan order and the announcement by Stechert Hafner, Inc. of the demise of the Latin American Cooperative Acquisitions Project (LACAP). Negotiations are underway to establish direct arrangements with Latin American book dealers to insure the uninterrupted acquisition of materials for 1973.

CATALOGING

The level of cataloging production remains at approximately a quarter of a million titles a year. From fiscal year 1965 to fiscal year 1972 the number of books cataloged annually has increased from 109,787 to 243,753 titles. This increase is due in large part to the implementation of NPAC in fiscal year 1966.

Card Printing

The Library's Tokyo printer has tooled up for printing Chinese and Korean titles as well as Japanese ones and will begin to print them early in 1973. The style of printing the romanization of titles not written in the roman alphabet was modified in response to requests by card subscribers.

International Standard Bibliographic Description

Work was completed on the draft of a revision of Chapter 6 (Separately Published Monographs) of the *Anglo-American Cataloging Rules* to put into rule form the changes resultant from the IFLA-promulgated *International Standard Bibliographic Description* (ISBD) approved in principle by both LC and ALA. This draft is now in the hands of the American, British, and Canadian cataloging rules committees and will be taken up at the 1973 Midwinter meeting of ALA. Implementation will be impossible before the spring of 1973 at the earliest.

A detailed description of the changes involved in the ISBD, together with examples of LC cards printed in the new style, was published in *Cataloging Service,* Bulletin 105, mailed in December. In addition a paper was prepared on the origins, rationale, and implications of the ISBD for publication in the *Library Journal* in January. This paper was also read at meetings of the Potomac Technical Processing Librarians in November and at a joint meeting of METRO (New York Metropolitan Reference and Research Library

Agency) and the New York Technical Services Librarians in December.

International Standard Bibliographic Description for Serials

The Library's senior cataloging staff together with MARC Development and National Serials Data Program staff continued to study and to provide input to the *International Standard Bibliographic Description for Serials* being prepared by staff at the Bibliothèque Nationale in Paris.

Cataloging in Publication

The number of participating publishers and their divisions has grown to over 330. On October 24 the 10,000th title was received for processing. As of this writing over 12,000 titles have been processed and the level of operation is now about 13,000 titles per year.

MARC subscribers are expanding their usage of the CIP pre-publication data, preparing early acquisition records for selection and ordering purposes. *Publishers' Weekly* has also expanded its use of CIP information in the "Weekly Record," with 81 records being listed in the October 16 issue as "Prepared from CIP."

The Library of Congress and the National Library of Medicine (NLM) have now cooperatively cataloged over 300 medical titles under CIP. Representatives from LC and NLM have contacted the medical book publishers and approximately 70 percent are now participating in the CIP Program. The LC CIP data for biomedical and other selected titles contains the subject headings and classification numbers provided by NLM.

Efforts are being made to identify trade and academic publishers who are not yet in the program and to encourage their participation. Discussions will begin early in 1973 to phase select government documents into the Program.

Subject Headings

The Subject Cataloging Division has begun to assign subject headings for persons and corporate bodies in those cases where one has been previously omitted because of identity with the main entry. As a further contribution to centralized cataloging the division has also begun to assign category subject headings to nontopical motion pictures, not only for purposes of grouping films in the printed catalog but as printed form headings on LC cards.

In response to the needs of genealogists and local historians, the Subject Cataloging Division has started assigning at least one subject heading in which a place name is the first element to all materials of interest to readers in these two fields. This addition assures that subject cards for such works will be cumulated under the name of the locality instead of being concealed in extensive files of topical headings. Consequently, this will obviate the necessity to read great numbers of titles in order to locate those of pertinence to the researcher.

LC Classification

In conformance with the current policy of revising classification schedules instead of reissuing them with cumulated additions and changes, a new Class Q, Science, has been sent to the publisher and should be available for purchase by April 1973. Both KD, Law of the United Kingdom and Ireland, and BQ, Buddhism, are being applied by LC catalogers, with class numbers from the new schedules already appearing on LC printed cards. Subclass BQ will be published as an addendum to the *LC Classification-Additions and Changes*, List 168, October-December 1972 and its index will appear in List 169. Subclass KD will be ready for the publisher shortly after the beginning of the year. Class A, Polygraphy, has been revised and is being indexed for publication to be followed by a revision of Class U, Military Science.

Decimal Classification Activities

The Editorial Policy Committee for the Dewey Decimal Classification met in October at Lake Placid to begin charting plans for Edition 19 and work has now commenced. *Decimal Classification Additions, Notes and Decisions*, Vol. 3, No. 1 has been distributed. The Decimal Classification Division participated in an exchange of personnel with the *British National Bibliography*. Melba Adams of the Decimal Classification Division spent six weeks at *BNB* in July-August and Ross Trotter of the *British National Bibliography* spent six weeks at the Library of Congress in October-November.

SERIALS

New Serial Titles Cumulation

In cooperation with the Library, the R. R. Bowker Company is preparing a cumulation of *New Serial Titles* covering the years 1950-1970. The new work will combine data on some 230,000 serials listed in the series of cumulations for 1950-1960, 1961-1965

and 1966-1969, and the quarterly issues for 1970. In addition it will include new library locations for these serials and revised entries added to the data base in 1971. Publication of the cumulation is expected in the fall of 1973.

CARD DISTRIBUTION SERVICE

Volume of Orders Received and Card Prices

The number of orders for catalog cards continues to decline with present projections indicating that about 8,000,000 orders will be received during the fiscal year ending June 30, 1973. This represents a decline of about 10 percent from the previous fiscal year and is a continuation of the decline which began in fiscal year 1969. The decline in volume of individual card sales is attributable to the same reasons mentioned in prior reports—the present level of economic activity as it affects the publishing industry and library budgets, the growth of commercial and cooperative processing centers, and the impact of improved technology for the reproduction of multiple copies of catalog cards. Salary costs in the Card Division and in the Government Printing Office, and printing costs in GPO continue to rise, thus resulting in a greater unit cost for the printing and distribution of catalog cards. Card prices have been maintained at the same level since August 1969. At the close of calendar year 1972 no price increase was anticipated for sets of cards, although a general review of the prices of all items sold by the Card Division was being made in the hope of establishing a more balanced set of prices for the various services offered by the Division.

The Card Mechanization Project

Since September 27, 1971, when the printing, slitting, and collating portion of the Mechanization Project became operational, the Card Division has photocomposed, printed, and cut more than 22,000,000 catalog cards for subscribers and Library purposes.

RECON Records

On September 30, 1972, the Card Division made available for sale tapes containing approximately 49,000 1968 RECON records. These were converted into machine-readable form during the RECON Pilot Project and, together with the catalog records issued through the MARC Distribution Service since its beginning in April 1969, constitute, in machine-readable form, the English language cataloging output for monographs by the Library of Congress for the years 1968 to the present.

The 1968 RECON records are available on both 7-track (556 cpi) and 9-track (800 cpi) tapes and are written in the American Standard Code for Information Interchange (ASCII). The price for the 1968 RECON tapes is $1,000.

Airmail Shipments

Beginning July 1, 1972, all shipments of LC printed catalog cards, books, catalogs, and other material distributed by the Card Division were made by surface mail at the lowest applicable rates. This policy was adopted in order to avoid price increases resulting from the greatly increased U.S. Postal Service costs of Airmail, Registered Mail, Special Delivery, and certain other categories which comprise priority mailings.

A few examples set below reflect the differences between mailings sent by the lowest applicable surface rate compared with the airmail rates in the primary classifications:

Item	*Size*	*Surface*	*Airmail*
Letters	regular	$.08	$ .11
Card pockets	3 ounces	.06	.33
Package	3 pounds	.10	1.86
Package	7 pounds	.18	3.73

A study was undertaken at the close of calendar year 1972 to determine whether cards and proofsheets could be sent airmail at the subscribers' expense.

MARC Distribution Service

In September 1972 the Card Division began the sale and distribution of MARC tapes for motion pictures, films, and filmstrips cataloged by the Library. The sale and distribution of tapes for maps and French language monographs cataloged by the Library are set for release in April 1973. The price for the map tapes will be $400 a year; the price has not yet been determined for the French tapes.

CARD CATALOGS

The Process Information File maintained by the Catalog Management Division in the Processing Department is a constantly changing file of 500,000 temporary cards recording the status and location of

materials until printed cards are filed into the Library's catalogs. This main entry file had grown too large for efficient service and maintenance and has therefore been frozen. In the interest of providing better service and insuring more rapid and more accurate searches, it was decided that a new Process Information File would be arranged by title and would include 1972 and later imprints. This new file became effective with the receipts of December 8, 1972, and fully operational on January 1, 1973.

BOOK CATALOGS

The Library of Congress Catalog–Books: Subjects

The 1971 annual edition of the *Books: Subjects Catalog*, consisting of 10,837 pages in 11 volumes, was shipped to the Government Printing Office between June 16 and October 13, 1972. This annual is 19 percent larger than the 1970 annual, which contained 9,099 pages. The April-June quarterly issue, containing 2,522 pages in three volumes, was shipped to GPO on August 9; and the July-September quarterly, consisting of 2,801 pages in three volumes, was sent to GPO on November 9. The total number of pages in the three quarterlies for 1972 (7,106 pages) are 42 percent greater than the number of pages (4,988) which were published in the three 1971 quarterlies. Work is now under way on the 1972 annual edition, which is expected to contain some 15,000 pages.

The Library of Congress Catalog-Music and Phonorecords

The January-June 1972 semi-annual issue of the *Music and Phonorecords* catalog, containing 401 pages, was sent to the printer on November 9. With the cooperation of the Music Library Association, plans have been developed to make this publication a national union catalog for music. Since the Music and Films Unit of the Special Catalogs Section does not have the personnel to edit or type reports received from other libraries, it was agreed that contributing libraries would be asked to edit and type their cards in such a way that they could be included in the *Music and Phonorecords* catalog without further editorial work. For this reason, six American libraries and one Canadian library were selected by a committee of the Music Library Association to contribute reports to an enlarged *Music and Phonorecords* catalog beginning in January 1973. These particular institutions were chosen because their collections differ in content and character from the Library of Congress collections, because of the quality of their cataloging work, and because it is expected that they will have the interest and resources to make continuing contributions.

The seven libraries were informed of their selection late in November, and detailed instructions for typing catalog cards were sent to them on December 4. They have been asked to submit samples of their typed cards by the end of December, so that these can be evaluated and any necessary changes instituted before reports are actually submitted in 1973.

The Library of Congress Catalog–Motion Pictures and Filmstrips

The April-June quarterly issue of the *Motion Pictures and Filmstrips* catalog for 1972, containing 123 pages, was sent to the printer on August 10. The July-September quarterly will be ready for shipment to GPO by December 13. All of the catalog cards appearing in this July-September issue, together with their subject headings and cross references, have been produced from MARC tapes. The last quarterly was produced manually, from individually printed cards, to permit inclusion of the cards in the 1968-1972 quinquennial cumulation, now in initial phases of preparation.

Newspapers in Microform

Although reports for one State (Illinois) remained to be edited, and the edited cards for four States remained to be typed, mounting of cards for the newly titled publication, *Newspapers in Microform: United States*, was begun on December 5. This publication, which supersedes the United States reports previously published in *Newspapers on Microfilm*, will present approximately 32,640 reports on United States newspapers in some 980 pages, of which 148 pages will be an index.

Because coverage of foreign newspapers is entering a new stage with the appointment of a Foreign Newspaper Microfilming Coordinator, it has been decided to publish reports on foreign newspapers in a separate publication, to be entitled, *Newspapers in Microfilm: Foreign Countries*. Some 8,730 reports will appear in the current publication, which will contain approximately 310 pages. About 55 percent of these reports have already been edited, and publication of this work should take place shortly after completion of the United States volume. Presentation of newspaper reports in two separate publications means that future issues can be published for one areas of the

world without reference to another, and will thus provide more prompt service for those in search of such information. This program also gives the purchaser an opportunity to select the volume most suited to his own needs.

National Register of Microform Masters

The 1971 edition of the *National Register of Microform Masters* was sent to the printer on November 20, just eight months after completion of the 1970 edition. This volume contains 60,480 entries, by comparison with the 62,250 entries that were published in the 1970 edition. Because these volumes are intended to endure until such time as a cumulation can be published, and because use of the 1970 volume revealed that a paper cover is not very durable on a volume of this size, this edition is being bound in cloth for the first time. Work has now been begun on the 1972 annual edition, which again will contain some 60,000 entries.

The National Union Catalog, A Cumulative Author List, 1968-1972

Work continues on schedule with the projected 128 volume 1968-1972 quinquennial cumulation of *The National Union Catalog*.

The printing file base is now complete with card drawers assigned and labeled for the entire alphabet. Less than 30 percent of the filing remains to be done, and the bulk of this is in the later parts of the alphabet. Two major file management operations are under way and substantial progress has been made in both. The first is the cancels and changes operation which assures that the latest catalog information appears in the print file. This updating work is approximately complete through letter D, with almost 20,000 entries having undergone some revision. The second operation is the verification of cross-references which to date has added to the file approximately 25,000 pertinent LC cross-references not previously published in *The National Union Catalog*. It is expected that the earlier part of the alphabet will be completely interfiled by the end of January 1973 and shipment of camera-ready page copy to J. W. Edwards, Inc. will be underway by early March 1973. The publisher hopes to have some volumes out to subscribers before the end of the fiscal year. The full set which includes not only *The National Union Catalog Author List*, but also the *Register of Additional Locations, Music and Phonorecords*, and *Motion Pictures and Filmstrips* is for sale from Edwards at a pre-publication price of $1,265.

The National Union Catalog—Register of Additional Locations

Since its inception, the *Register of Additional Locations* has been prepared by purely manual methods. For the bulk of its listings, this has meant: (1) the hand-sorting and arranging of literally millions of reports by card number; (2) the manual editing and combining of reports for the same title; (3) the typing of each entry in special card format; and (4) the shingling of typed cards to prepare camera-ready page copy.

Progress has been made toward automation of the production of the *Register of Additional Locations*. A contract has been awarded for the keying of approximately seven million records for the quinquennial issue covering the period from 1968 to 1972. Programs are being written to handle the processing of these records. The processing system developed for the quinquennial will also be used for an ongoing system for future cumulations of the register. The 1967 and earlier card number listings for the 1968-1972 *Register of Additional Locations* will be done manually, since the major portion of this work has already been completed by manual methods. Also, the smaller alphabetical list will continue to be done manually.

It is expected that by 1973 the automated system will be operational for all numerical listings in the *Register of Additional Locations*. This, of course, raises the interesting prospect that libraries could begin reporting machine-readable added locations directly to the *Register of Additional Locations* data base.

Pre-1956 National Union Catalog

Progress on the *National Union Catalog, Pre-1956 Imprints* can best be expressed by the following figures: 230 volumes have been edited and printed, covering entries through HAUPTMANN, GERHART JOHANN ROBERT. Copy for an additional 28 volumes has been edited and shipped to the publishers. As of December 1972, this brings the total number of edited volumes to 258, the number of cards shipped to 4,688,804, and the coverage through INSTITUTO VIRI PRIVATI.

A major achievement of the past six months was the editing of the many complex files comprising the letter "I." These included files for India, Institute, International, and numerous other corporate jurisdictions and title entries.

Far Eastern Languages Catalog

This card catalog in the Orientalia Division of the Library of Congress is now available in book form as a publication of G. K. Hall and Co. Issued in 22 quarto volumes, the *Far Eastern Languages Catalog/ Library of Congress* includes photographic reproductions of some 332,000 printed LC cards representing Chinese, Japanese, and Korean books and serials cataloged since 1958. The author, subject, and title entries are arranged in one alphabet. The 121,000 titles covered include 55,000 Chinese language works, an equal number of Japanese publications, and 11,000 Korean titles, with 80 percent of the total representing post-World War II imprints. Works cataloged before 1958 are controlled in separate language catalogs in the Orientalia Division.

The National Catalog of Manuscript Collections

The tenth volume of *The National Union Catalog of Manuscript Collections*, containing descriptions of 2,044 collections cataloged in 1971 and cumulative indexes for 1970-71, was sent to the printer in November.

AUTOMATION IN TECHNICAL PROCESSING

MARC Editorial Division

The past six months have seen a reorganization of the procedures and the position structure of the MARC Editorial Division, which is responsible for the production of the machine-readable records (other than maps). Staffing and training under this reorganization are still not completed but are proceeding satisfactorily. A severe backlog, at its peak in July, has been reduced by more than 50 percent and continues to decrease. Reports of errors discovered by catalogers, card subscribers, and MARC subscribers are continually processed to update records to optimum quality. The conversion of records for audiovisual materials will exceed 6,000 records by the end of this year.

MARC Development Office

As the focal point of automation in technical processing, the MARC Development Office (MARC Dev) has made considerable progress in the area of development and implementation of machine systems to create, organize, process, and disseminate machine-readable data. Much of this work has been done in cooperation with other units in the Processing Department, such as the MARC Editorial Division, the Card Division, and the Technical Processes Research Office, whose activities are described elsewhere in this report.

Future automation projects in technical processing are dependent on the implementation of the Multiple Use MARC System (MUMS), which will be capable of using either disk or tapes for peripheral storage and will have on-line and off-line (batch processing) capabilities. MUMS consists of three major components: task control, which provides executive control of the system; message control, which consists of two compatible sets of input/output programs called terminal support and batch support; and data management, which handles files on disks. The initial version of task control is operational. With the installation of the first terminal, a Spiras Irascope, terminal support is now being tested, and the general design of batch support has been completed. Implementation of the data management programs has begun.

The first application scheduled to operate under MUMS in fiscal 1974 is the redesign of the MARC input system at the Library. The new input system will consist of the following functions: conversion of input data to an internal processing format; updating capabilities; and validation and editing capabilities. In addition, several interface programs, including one to convert machine-readable bibliographic records in the current internal format to the MUMS internal format, have been developed. All work on the input system has been closely coordinated with the MARC Editorial Division. Other applications of MUMS include the automated Process Information File and the authority files, as described below.

Machine-Readable Cataloging and Related Activities

The data base for the MARC Distribution Service contains approximately 302,000 records for English language monographs cataloged at the Library of Congress since 1968 and records created by the Cataloging in Publication program. As mentioned above, there are approximately 6,000 records for audiovisual materials.

Format recognition, a process which allows the computer to process unedited cataloging data to create a complete MARC record, has been used by the MARC Editorial Division for input of all English language monographs since January 1972. Changes in the programs are being made by the MARC Development Office to provide the capability of processing records cataloged according to the International

Standard Bibliographic Description. Modifications are also being made to allow processing of French language monographs cataloged according to the ISBD. The special punctuation prescribed in this standard should substantially reduce research and development costs in the area of format recognition and in cases of failures of such programs to correctly tag fields and subfields in bibliographic records.

One important use of MARC records at the Library is in the production of book catalogs. Preliminary catalogs containing records for monographs in the reference collections of the Main Reading Room and the Science Reading Room have been prepared for staff use on a computer printer. Records for serials in both collections are being input and will be merged with the monograph records to form combined catalogs for the respective collections. Work on the production of photocomposed book catalogs has been hampered because of the limitations of the Linotron at the Government Printing Office.

Entries in all of these book catalogs have been arranged by a machine filing program, which uses the provisional filing rules developed by the Technical Processes Research Office. Modifications to the program are still being made in order to handle more complex filing arrangements.

Use of the MARC data base for retrieval purposes in the Library continues to increase. Seven existing current awareness listings (for records on Mainland China, population, Africa, Afro-Americans, children's literature, reference books, and conferences) have been augmented by a listing of titles in translation. "Once-only" listings have been provided for records for festschriften, books containing statistics on Africa or on the economics of five African countries, directories, and reprints received by the CIP program in 1972 but not yet published as the year drew to a close. The Geography and Map Division, in addition to receiving cards for new records, received a listing of all American maps processed in 1971. This listing will be forwarded to the *Bibliographie Cartographique Internationale*. Many of these retrieval projects represent a joint effort of MARC Dev and the Reference Department staff. As the Reference Department has gained more experience with these retrieval projects, they have taken on an increasing amount of responsibility in initiating and carrying out these requests.

The MARC Development Office is also involved in the conversion of subject headings to machine-readable form in order to print future editions and supplements to the LC subject headings list. Subject headings from the seventh edition and its supplements through 1972 comprise this initial data base. Programming for the processing system has been completed, and the system is presently being used to input subject headings data created during 1972. The Editorial Section of the Subject Cataloging Division has been doing the final editing of the master file containing data for the seventh edition of the subject heading list. Final corrections have also been made to the files containing data for the supplements issued from 1966 to 1970. It is expected that the seventh edition master file and the supplement files can be merged in the spring of 1973 and data for the eighth edition will be ready for printing in the summer of 1973. Subject headings data created from 1973 on will be input directly to the automated system.

Beginning in January 1973, all new serial titles in roman alphabet languages given printed card cataloging by the Library will be input to the MARC system. Based on recent serials cataloging statistics, it is anticipated that this program will add approximately 10,000 titles a year to the MARC serials data base. This effort will build on the experience gained in the conversion of serials in the reference collections of the Main Reading Room and the Science Reading Room.

The MARC Development Office has continued its efforts in disseminating information on its activities through the professional literature or through the Library's own publication program. An article entitled "Automation Activities in the Processing Department of the Library of Congress" appeared in spring 1972 issue of *Library Resources and Technical Services*. Final reports on the RECON Pilot Project and the research tasks of the RECON Working Task Force are in press and will be available from the Government Printing Office in 1973. *Manuscripts: a MARC Format* is also in press and will be available from GPO in 1973. Work on MARC formats for music and sound recordings is in progress.

Applications of Automation in Technical Processing

Other activities in the MARC Development Office include the application of automated techniques to the Library's authority files and the Process Information File and to acquisitions. Preliminary analysis is in progress to design a system which will integrate machine-readable authority files for names and subjects into an on-line environment to aid in book catalog production and in cataloging. The design effort for an automated Process Information File continues. On-line input and searching with multiple

access points will expand the usefulness of the file as an adjunct of the Library's Official Catalog and provide more efficient control of materials throughout the processing cycle. It is anticipated that records from the Order Division automated system can serve as input to the automated process file, and in turn records from the automated process file can serve as input to the MARC system in the future.

TECHNICAL PROCESSES RESEARCH OFFICE ACTIVITIES

As a contribution to the design of an automated Process Information File (APIF), TPR has been heavily involved in defining the characteristics of the most efficient APIF indexes. The basic problem is how to achieve the greatest degree of discrimination in [illegible]ne searching with the minimum effort in formulating and inputting a search query. Several kinds of indexes are under consideration: (a) personal name; (b) corporate name; (c) title; and (d) 3-3 key. The last would be made from the first three letters of the main entry and the first three (other than an initial article) of the title.

The effectiveness of various formulations of indexes of these types is being tested by simulated searches against the 533,000 LC entries in the 1963-1967 cumulation of the *National Union Catalog; Author List* and, in the case of titles, against the LC Official Catalog. The initial findings seem to indicate that 3-3 keys are more efficient than searches involving personal surname plus first initial or full corporate name. Across the board, even title searches seeem to be less effective than 3-3 searches when fewer than 20 characters of the title are used. The probability of high discrimination using 3-3 keys stems from the fact that they comprise data from two fields whereas surname and corporate name searches rely on data from only one field.

Further investigations of the requirements for APIF searching relate to techniques for truncating corporate names without significantly reducing their power to discriminate and criteria for qualifying initial search queries when they yield too many hits. Another concern is the definition of opitmum strategies for searches when the desired item lacks distinctive features or when a searcher's information may be inaccurate or incomplete.

Working with the MARC Development Office, TPR has improved the ability of the LIBSKED (Library Sort-Key Edit) program to produce arrangements according to the filing rules formulated by TPR. The effecitveness of the program has been demonstrated in the computer-produced catalog of the Main Reading Room reference collection. The rules themselves and the considerations that led to them were described in "Filing Arrangement in the Library of Congress Catalogs" in the spring issue of *Library Resources and Technical Services.*

INFORMATION SYSTEMS OFFICE

The primary objective of the Information Systems Office has continued to be finding cost-effective solutions to Library of Congress mission requirements. This has been done by developing automated systems to perform tasks required by LC and by reducing the cost of computer systems. Equipment now available allows the cost of each automated operation to be reduced. Taking full advantage of this equipment requires careful selection, close monitoring of performance, and continuing review of operations to be automated. Rational progress requires that all of these decisions be made early enough to provide for necessary lead times.

Centralized Computer Operations

During the past six months, the computer complex including the machines and the operating system which controls them, have been significantly changed. The changes were made to take advantage of new technological developments, to meet expanding requirements, and to improve cost/performance.

Equipment has been replaced and the computer room redesigned for more efficient flow of work. A more powerful main frame was introduced and new automatic-loading, high-speed, high-density magnetic tape drivers were installed. These drivers relieve operators of the need to thread tapes. They transfer data at twice the speed, and allow twice as much data to be put on each reel of tape. Jobs requiring magnetic tape processing are being run about 40 percent faster than was previously possible. New high-speed, high-capacity magnetic disk units were installed to decrease processing time and to allow data to be stored on-line at less cost for each item.

The effort to acquire cathode-ray communications terminals has advanced to the point of testing. A Request for Proposal, issued in the spring, was responded to by a number of vendors. Technical capabilities were assessed and an initial procurement made from the manufacturer offering adequate

equipment at the lowest price. Intense experimentation with the initial system is now being carried out. The test to be completed in the next three months will determine the make and model of terminals for many applications. At the same time, the terminal complex is being used for systems testing.

Systems software, the collection of programs which schedules work against facilities and allows disparate equipment to work toegher effectively, was augmented.

Computer System Performance

In conjunction with changes in the computer operation and facilities, efforts toward improving the performance of the computer system were intensified. By using a hardward monitor, a higher degree of multiprogramming and capacity for expansion was realized. A new software monitor was installed to provide, on a continuing basis, information in regard to the utilization of the central processing unit and its channels. It allows analysts to detect processing bottlenecks and to rectify them. A new program accounting, control and evalution system was also implemented during this period to provide a continuing profile of the computer system workload in order that hardware and software requirements can be more accurately assessed for present and projected computer applications.

To improve reliability, copies of critical files and computer programs are stored systematically at a remote location to provide for replacements in the improbable event that files or programs are damaged or destroyed at the central LC computer facility.

Computer Applications Office

The activities of the Computer Applications Office in the second half of 1972 were concentrated on enhancement of the capabilities of existing systems, and development and implementation of a number of systems using generalized, on-line software.

In the Congressional Research Service, retrieval capabilities against bibliographic files were substantially improved; this led to a four-fold increase in the production of demahd bibliographies for Members of Congress, Committees, and CRS researchers. Other enhancements have reduced the amount of manual effort required for adding or changing data in the *Digest of Public General Bills and Resolutions* file [see Congressional Research Service below].

Reference activities were highlighted by the development of the first phase of the Book Paging System. The system initially consists of a pilot communication network operating between reading room issue desks and one of the deck areas of the collection. Call slip request information and responses to searchers are passed over this network using the Library's computer. Subsequent phases of this system are likely to include expansion of the network to all decks housing the collections, direct reader input to the system, and management control.

Automation activities in the Copyright Office included the implementation of the system for on-line copyright cataloging of Class N (sound recordings). Building on the experience derived from the Class N system and making use of new software capabilities, a system design has been developed for an on-line Copyright Cataloging System. The design has been approved for implementation by the Copyright Office. This system will provide accurate and timely capture in machine-readable form of data elements comprising the copyright registration entry. The system will generate copyright catalog cards and a new format for the micropublishing of the *Catalogs of Copyright Entries*. A valuable by-product will be statistical information which will permit more effective management control of the Copyright Office workload.

Systems Support

Efforts continued to develop and promote the use of generalized software. The generalized bibliographic system (BIBSYS) continued to be used in an expanding number of applications, such as the preparation of the *Antarctic Bibliography* and the processing and publishing of current serials titles for the National Serials Data Program. In addition to the use of BIBSYS, a generalized capability was installed to retrieve data from complex computer files by other than a unique identifier. A capability was developed for the computer production of microfiche using standard LC print tapes as the source with the option of producing hard copy as well as microfiche simultaneously. Further capabilities were developed for the processing of standard file formats to improve the capabilities of the CRS legislative information systems.

Complementing the efforts to obtain and install more versatile terminals were developments in access systems in order that these terminals can be used more flexibly. Thus teletype terminals can now be used to access various LC data bases. Since such terminals are portable, existing automated files become more accessible to LC staff. Similarly, the data carried by the teletype equipment is addressable

by the quieter and faster cathode-ray tube class of terminals.

The extensive hardware and software changes during the past six months made it necessary to revise many automation standards and issue new ones. Much progress was also realized in the compilation of inventories of hardware and software resources at LC. The inventories are issued for the use of LC designers and programmers to inform them of what is available, and where possible, what is planned.

PRESERVATION ACTIVITIES

With a completely equipped fully-staffed laboratory, the Preservation Research Office is now directing its efforts to research. Work initiated during the spring and summer of 1972 included:

(1) An evaluation of all presently used methods for neutralizing and alkaline buffering of paper. No comparative study of these various methods in current use has been undertaken previously. The present study is expected to identify the advantages and disadvantages of each of the several methods;

(2) An investigation into the principles of gaseous deacidification and the identification of a method or methods by which books can be treated economically and safely to decrease the rate of deterioration;

(3) An investigation of the possibility of restoring strength to paper which has already deteriorated using the technique of graft polymerization. If successful such a process could restore to usable condition thousands of volumes which are now so brittle they cannot be handled without damage;

(4) A comprehensive analysis of stains and discolorations in paper, from the viewpoints of both identification and removal, is under study by the laboratory in cooperation with the paper conservators of the Restoration Office workshop;

(5) An investigation of the uses, types, methods of formulation, shelf life, and other properties of adhesives used in the conservation of library materials. This is an area which has needed comprehensive study for many years. The project is being undertaken in cooperation with the staff of the Restoration Office in order that the adhesives studied may be evaluated in practical terms; and

(6) An in-depth study of substitutes for the lamination process. Widely used since its development in the 1930's, the process of laminating documents using a thin film of cellulose acetate as an adhesive and neutral or alkaline tissue to impart strength to the document after deacidification is being re-evaluated. There is evidence that this process was not without some harmful effects caused partly by the heat required for lamination and partly by the eventual deterioration of the acetate. The present investigation will seek to clarify these points and to identify more effective substitute measures for protecting a wide variety of materials.

As indicated above, research covering the neutralization and buffering of acid paper began on several fronts during early 1972. One especially interesting aspect of this work, the concept of "alkaline reserve" led to a technical paper presented by George B. Kelly of the Research Office staff at a meeting of the Paper Conservation Section of the American Group of the International Institute for Conservation, held in Philadelphia in May.

Flood damage to libraries, historical societies, and similar organizations caused by Hurricane Agnes, resulted in a large number of requests for advice and assistant in salvaging water damaged books and manuscripts. In response to this need the Restoration Office prepared a pamphlet entitled "Emergency Procedures for Salvaging Flood or Water-Damaged Library Materials." To date, more than 600 copies of this practical guide have been distributed to libraries throughout the United States.

When it became evident that coordination of the technical aspects of the flood damage was desirable, the Preservation Office, with the assistance of a grant from the National Endowment for the Arts, sponsored a meeting of conservators and scientists, held at LC on August 3, to review the situation and to develop plans for a research program to solve some of the problems involved in salvaging flood damaged library materials. As an outgrowth of this meeting, the Preservation Research Office initiated a crash program to investigate various drying methods for water damaged materials and to identify optimum techniques for the salvage of such materials. The basic research program on these problems has been completed and a full report will be published at an early date.

John C. Williams, Research Officer, now serves as a member of American National Standards Institute Task Group on the Stability of Diazo and Vesicular Films. The facilities of LC's preservation research laboratory have been made available for some of the research required to further the Committee's work.

In seeking improved means of protecting or

supporting fragile documents without resorting to lamination, the Restoration Office has been experimenting with a variety of plastic films. Several promising new techniques have been developed and are now being evaluated and tested.

PHOTODUPLICATION SERVICE

On October 1, the Photoduplication Service adopted a new price schedule in an attempt to equalize its income and expenses. Every effort has been made to hold down costs. The substantial increase in labor costs over the past seven years have made commensurate productivity almost out of the question. Approximately 75 percent of Photoduplication Service's expenses go to labor, hence the need to adjust the rate structure. A close cost study revealed that the increase in some services, particularly in the production of conventional photographs, required a substantial increase, whereas the price for positive microfilm was not changed.

The management of the Photoduplication Service continues to work on behalf of the library community in the area of technical standards and specifications. The Photoduplication Service staff is currently working on a specification for the microfilming of books and pamphlets which should be available through the Government Printing Office sometime during calendar year 1973. In addition, the staff represents Library interests on a National Microfilming Association Standards Committee currently compiling a Specification on Operational Practices in Microfilm Laboratories. The staff recently assisted in the compilation of NMA MS104, 1972 *Recommended Practice Inspection Quality Control First Generation Silver Halide Microfilm.* In addition, the Photoduplication staff participates in the efforts of the American National Standards Institute Committee PH 5 which is concerned with documentary reproduction, and with the International Standards Organization TC 46/SC 1 which is also concerned with documentary reproduction.

FEDERAL LIBRARY COMMITTEE

The Federal Library Committee, in testimony before the National Commission on Libraries and Information Science, recommended four specific courses of action. They suggested that the National Commission:

(1) Should consider as an early goal the development of an over-all national plan for assuring full utilization and extension of library resources at all levels of society throughout the nation. The preparation of a comprehensive policy statement could be the basis of a concerted effort to make certain that the libraries of this nation–Federal, State, regional, public, special, university, and school–are fully utilized in carrying out the Federal Government's responsibility to see that at least one copy of every significant research document in the world is in the national library and information system;

(2) Should assist in determining and then supporting the techniques by which Federal libraries can be assured stronger support by their agencies and by the Government as a whole;

(3) Should address itself to the place of the Federal library in the agency hierarchy. Encouragement should be given to placement of libraries in substantive administrative areas;

(4) Should pursue studies with appropriate legislation following, that could determine the levels of service that should be provided the various categories of Federal libraries.

A machine-readable data base of research affecting technical library and information services is available at the Research Center of the Graduate Library School, Indiana University, for experimental queries from interested individuals and institutions. The data file is one result of the Long Range Research Program carried out by the Center for the Corps of Engineers (TISA Program), in cooperation with the Federal Library Committee. The basic objective of the study is to improve the efficiency and effectiveness of DOD and other Federal technical libraries, information centers, and information analysis centers.

Every effort is being made to keep existing project descriptions current and to obtain descriptions of new projects for addition to the file. For those projects in the file the principal investigators are contacted by letter for up-to-date information, and the project description is modified on the basis of the information received. Published sources are searched systematically for announcements of new research projects. Announcements by granting and contracting agencies are also scanned regularly. Machine-readable sources such as tapes from COSATI, the Defense Documentation Center (DDC), and the U.S. Office of Education, are also used when available.

In October 1972 the FLC Public Relations Task Force issued a manual, *Guidelines for Preparing Library Handbooks*, for general distribution. The Task Force recognized that users of the *Guidelines* might wish to see illustrations of the points emphasized in the text. For this purpose, it assembled

packets of selected library handbooks which are available on loan for a period of four weeks from the FLC office. Each packet contains eight handbooks chosen to exemplify both excellence of presentation and the wide range of options open to the librarian planning a user's guide. The qualities that led to inclusion of the handbook in the sample are briefly noted.

U.S. NATIONAL LIBRARIES TASK FORCE

The Librarian of Congress, the Director of the National Library of Medicine, and the Director of the National Agricultural Library approved three projects developed by the U.S. National Libraries Task Force on Cooperative Activities.

The first is to maintain an awareness by the staff working within each of the national libraries of automation activities which may affect planning and operations. A knowledge of automation activities in all three libraries will encourage concepts of compatibility as well as contribute to the development of coordinated automated activities. To assure this, each of the three will sponsor a seminar to review automation activity in their respective libraries. Each seminar will identify areas lending themselves to cooperative and/or coordinated activity. Participants will include policy level and technical staffs. Recommendations for the Directors' consideration will be developed by each library. Next, the Directors and their designees will meet with the Task Force to develop policies for coordination and cooperation. A policy statement will be issued.

Second, the development of a standard order form for use in the Library of Congress, National Agricultural Library, and the National Library of Medicine has been undertaken by the U.S. National Libraries Task Force. A standard order form offers an opportunity to reduce clerical work and errors and speed book order procedures. The concept is of potential usefulness to the library community in general.

The third project approved relates to subscription dealer performance. Subscription agents are employed by the three national libraries to procure a high percentage of serials obtained through purchase. These agents are reimbursed for various services rendered: such as, central placement of orders, handling of supplemental charges, information about new and discontinued serials, claiming, speed in delivering, etc.

There is a need to: (1) review subscription agent claims; (2) review actual services rendered; (3) develop a checklist of appropriate services; and (4) develop a mechanism for ensuring agent compliance. The checklist and mechanism will result in a more efficient procurement process with a resultant savings in cost to each library and an improvement in services to the public.

William Katz, School of Library Science, State University of New York, Albany, will review the literature; examine current and past serial dealer contract documents; identify actual services provided; prepare a list of requirements; develop a workable mechanism; and, submit a report of findings and recommendations.

Each step will be coordinated by an advisory group comprised of one representative from each library.

NATIONAL SERIALS DATA PROGRAM

The National Serials Data Program (NSDP) entered its operational phase with the appointment of a Director on April 17. During the eight months of calendar 1972 the Program moved along towards implementing the charge placed upon it of developing a national data base of information on serial publications. Staff needs were identified and the program now has nine staff members. The Council on Library Resources, Inc. awarded the program an Officer's Grant to augment the support given by the Library of Congress, the National Agricultural Library, and the National Library of Medicine.

A National Advisory Committee was appointed to serve as a communications link with the varied user community to which the NSDP ultimately will respond. It focuses also on advising the Director of the NSDP of the needs of the different clients who will benefit from this national program. The members of the Advisory Committee and the user communities they represent are: Milton Byam, public libraries; William S. Budington, research libraries; John Callaham, publishing industry; Frank F. Clasquin, subscription agent; Mrs. Mary Huffer, Federal and special libraries; Vern Pings, university libraries; and James L. Wood, abstracting and indexing services.

In fulfilling its mission the National Serials Data Program has established certain priorities. Top priority, of course, is assigned to providing a data base of information on serials for the three national libraries. The existing machine-readable serial data bases of the National Library of Medicine and the National Agricultural Library will be converted and will constitute the basis of the NSDP data file. Concurrent with this

operation the NSDP, starting January 1, will receive current serial cataloging information from the three national libraries and will utilize this information to add to its data base. In addition to providing cataloging information, the National Agricultural Library and the National Library of Medicine have agreed to provide aperture cards for all their current serial titles showing the cover and masthead for each title. This will augment the cataloging information in the development of the NSDP data and will ultimately serve as a visual verification file. The Library of Congress is investigating means of fitting this approach into its processes in order for NSDP to have these titles in the microimage verification file. In addition to developing a basic file of bibliographic information on serials, the NSDP is also developing two additional files–a corporate entry authority file and a holdings file.

Because of the policy and procedural differences among the three national libraries in determining the form of entry for corporate bodies, the national libraries have asked the NSDP to build a corporate entry authority file. Such a file was also recommended by the National Serials Pilot Project. This file will show the corporate form of entry used by the NSDP and that used by each of the three libraries for a particular title. The NSDP will use the Anglo-American Cataloging Code in establishing the entry for issuing bodies.

The NSDP is developing a separate record of minimal information about holdings, accessible via International Standard Serial Number (ISSN).

The NSDP record of bibliographic information on serials consists of 33 data elements, 25 of which form the set of elements identified in the ISSN as an international standard. The additional eight elements supplement these to further identify the serial for national users. The system is based on the development of a key title and the assignment of an ISSN to the key title. A key title is a constructed title that uniquely identifies the serial and is essentially the title as it appears on the piece, with minor modifications when necessary. Rules for identification of key title have been developed as part of the International Serials Data System (ISDS). A final draft of the ISSN as an international standard was developed at the ISO/TC 46 meeting at The Hague in late September and is being circulated for ratification by the member organizations. The director attended the meeting on behalf of NSDP and as a representative of the American National Standards Institute, and served on the editing committee which developed the final draft. The NSDP has been designated as the United States National Center for the International Serials Data System, the organization responsible for the development of an international system for control of bibliographic information on serial publications. The International Center of ISDS is the central authority for the assignment of ISSN and delegates this authority to national centers for titles emanating from the respective countries. In addition to the United States, the United Kingdom and Australia have established national centers. The Soviet Union, Japan, the two Germanies, Canada, and Scandinavia have indicated an interest in establishing national centers.

As mentioned in the January report, the NSDP is the sole authority in the United States responsible for the assignment of ISSN to American titles. In order to establish a data base of serial titles with ISSN, two exceptions were made to this concept. Authorization was provided the R. R. Bowker Company to number with ISSN the approximately 70,000 titles listed in the *Bowker Serials Bibliography* and a *Supplement* published in 1972. Negotiations are being conducted to authorize the Bowker Company to number with ISSN the approximately 250,000 titles in the projected cumulation of *New Serial Titles 1950-70* [See above Cataloging - New Serial Titles Cumulation]. The NSDP has worked out procedures to assign ISSN to new American imprint titles and to request ISSN for new foreign titles from the International Center.

FOREIGN NEWSPAPER MICROFILMING

In an effort to avoid duplication by the nation's libraries a quarterly report with respect to foreign newspaper microfilming will be issued by the Reference Department early in 1973. This report will feature "intention to microfilm" statements, announcements of newly-available titles, information concerning cooperative arrangements, and other news relating to the acquisition and utilization for research purposes of foreign newspapers both in hard copy and microfilm.

PRESIDENTIAL PAPERS PROGRAM

The six-volume *Index to the William Howard Taft Papers* published in August, with the 658-reel microfilm edition of the collection, is the 20th publication in the Library's Presidential Papers Series. Film and indexes of the Wilson, Garfield, and Jefferson Papers, in that order, are to be published in 1973, completing

this Library project, and making available more than 3,000 reels of Presidential Papers film.

NATIONAL UNION CATALOG REFERENCE SERVICE

Requests for bibliographic and locations information handled by the Union Catalog Reference Unit (UCRU) for the six-month period June-November numbered 25,274. The majority of requests are being answered and dispatched within 10 working days.

Revised instructions for librarians using this service are in final form and will be distributed when printed. A significant feature is a listing by States of institutions that subscribe to *The National Union Catalog, Pre-1956 Imprints* and that have agreed to provide bibliographic and locations information from the publication to other libraries. UCRU inquiry forms are distributed free by LC and beginning with the distribution of the revised instructions inter-library loan forms will no longer be accepted.

ACTIVITIES OF THE SCIENCE AND TECHNOLOGY DIVISION

Through a new informal arrangement, the National Technical Information Service (NTIS), of the U.S. Department of Commerce, has since October been sending a good percentage of its "NTISearch" bibliographic requests to the Library's National Referral Center (NRC), where the citations provided by NTIS are complemented by a listing of additional sources of information. The listing is then forwarded directly to the original requester. Two new publication series inaugurated in fiscal 1972, the *LC Science Tracer Bullet* and the *Selected List of Information Resources*, have been well received by the public, and some of these compilations are already in their second or third printing. Major division publications issued by the Government Printing Office were the *Antarctic Bibliography*, Volume 5, and the *Biological Sciences* volume in the NRC series of *A Directory of Information Resources in the United States*. A revised *Social Sciences* volume is in the final computer-processing stage prior to delivery to GPO for photocomposition. A revised *Federal Government* volume is being readied. The manuscript for *Wilbur and Orville Wright: A Chronology* is undergoing final editorial review. The division also continued to provide text for publications issued by other agencies, notably, the *Bibliography on Cold Regions Science and Technology* published by the Army's Cold Regions Research and Engineering Laboratory (CRREL), and *Astronautics and Aeronautics: Chronology on Science, Technology, and Policy*, published by NASA. A continuing special division task is the verification of entries for a revised edition of *A Guide to the World's Abstracting and Indexing Services in Science and Technology* being compiled jointly by the National Federation of Abstracting and Indexing Services and the International Federation for Documentation.

A new product of the division's automation activities is a monthly listing entitled *Current Antarctic Literature* generated through the Polar Prototype Bibliography system which LC is developing with National Science Foundation sponsorship. The listing replaces the card service formerly available for current awareness to a limited number of subscribers; the subscribers now receive computer-produced indexes on a quarterly basis, as well as the monthly lists. These products will be cumulated, photocomposed, and published as the *Antarctic Bibliography*. The Polar Prototype Bibliography system includes a retrospective extension of the computer-based searching and cumulative indexing capability by recapturing, in machine-readable form, data from volumes one through five of the *Antarctic Bibliography* (now about 20 percent completed) and a joint effort with the Information Systems Office to design an automated cross-reference system (of possible utility to other MARC users).

SERVICES TO THE BLIND AND PHYSICALLY HANDICAPPED

By the end of fiscal year 1972, the number of blind and physically handicapped readers of record in the nation reached an all-time high of 329,000, compared with 255,000 readers at the end of fiscal year 1971.

With the increase in readership across the country, the regional libraries found it difficult to keep up with the demand for service because they could not supply the space to house the additional materials needed and the staff required to meet the new demands. As a result it was necessary to establish subregional libraries in the States to assist the regional libraries to serve the blind and physically handicapped adequately and speedily. Thus the subregional libraries became firmly established as part of service networks. Augmenting the resources and services of

51 regional libraries, these subregional libraries which number 67 to date enable community libraries to give more direct service.

Beginning January 2, all talking books (discs) will be produced at 8-1/3 rpm. The reduction in production costs that will result from recording books at this compressed rate will make it possible for the Division to increase the number of copies of each title distributed to regional and subregional libraries. In early 1972, the popular novel, *Wheels*, by Arthur Hailey was produced in an experimental talking book format consisting of a series of flexible discs, called soundsheets, bound together much like a conventional print book. The wide acceptance of this format by readers has led to the selection of another title and possibly more to be produced in the future. Another innovation in talking books was *Jonathan Livingston Seagull*, the first adult talking book combined with a print copy for the benefit of readers with sufficient sight to enjoy the illustrations.

During the last six months all braille magazines were mailed directly to the reader and need not be returned.

Volunteer News, a quarterly newsletter published by the Division was redesigned and greatly expanded in scope in order to provide timely information, not only for braille transcribers but for the many other volunteers who contribute to the program.

Prototypes of two differing projected-book systems were received for testing and evaluation. Projected books utilize microfilm and are intended for the use of physically handicapped persons who are able to read print but lack the manual dexterity required to handle conventional print books. These are not yet available under LC's program but may be added if a satisfactory system can be developed.

In December, Robert S. Bray retired as Chief of the Division, a position he held since 1957.

CONGRESSIONAL RESEARCH SERVICE

Reorganization Act Implementation

The Legislative Reorganization Act of 1970 requires CRS to present to each committee at the beginning of the 93rd Congress a list of subjects and policy areas which the committee might profitably pursue, an aid to the committee in advance planning of their research activities. For the past six months CRS researchers, organized into ad hoc teams according to committee jurisdictions, have been working closely with 49 committees and their staffs in the preparation of these lists which will be formally submitted to the committee chairmen early in the first session of the 93rd Congress.

In addition, the Service is directed to provide each committee with a "list of programs and activities being carried out under existing law scheduled to terminate during the current Congress, which are within the jurisdiction of the committee." The American Law Division has compiled a concise listing of such legislation, including expiration date, brief characterization of the program, statutory citations, committees of jurisdiction, and a brief legislative history. For the most significant of these several hundred terminating programs, the CRS subject divisions will provide supplementary information on the program's operations, administration policies and interest group positions, summaries of existing evaluations and studies, summaries of basic issues to be considered, and a bibliography of relevant materials. The purpose is to assist the committee in considering and evaluating each program.

Automation Activities

Through its automated Selective Dissemination of Information System and periodic author and subject catalogs, the Service provides bibliographic control over current literature in those subject areas of interest to CRS researchers and to Congress. Other products from the CRS bibliographic data base include on-demand subject bibliographies produced by querying the computer using combinations of terms from several thousand in the CRS Legislative Indexing Vocabulary. On an experimental basis 80 of these searches were run in fiscal 1971. From July through December of 1972 there has been a dramatic rise in the use of this service. One hundred and eighty-five bibliographies were produced with a peak of 72 bibliographies produced in November. Almost half were done at the direct request of a congressional office or committee, and the duplicate copies have answered scores of other requests.

For several months the American Law Division and many other CRS researchers have been using two cathode-ray tubes (CRT) and a printer for on-line access to the information in the *Digest of Public General Bills* for the 92nd Congress. Through simple search commands the data base may be queried by asking for information by bill number, by sponsor or co-sponsor, and by a list of approximately 1,000 subject terms which are used in the sponsor index. In January CRS will receive four more cathode-ray tube units and two additional printers which will be

located to provide easy access by most CRS divisions. A variety of reports may be produced by requesting that the digest information be reformated and printed off-line by the high-speed printer in the LC Computer Services Center. CRS researchers use the CRT's to supplement their divisional "tracking" of legislative developments of concern to Congress.

The Information Systems Office of the Library has been working with CRS to produce new programs and reports for a refined system of administrative statistics for CRS management. Subject coding inclusion of the name of the researcher, identification of various special projects, and support for specific portions of the legislative process supplement revised breakdowns for form and type of response. The new statistics have been kept since July and various forms of reports have been produced during that time. This use of the computer is phase one of a plan to completely automate all CRS statistics and inquiry record control.

Senate Reference Center

A counterpart to the Rayburn Reference Center has been opened in the Old Senate Office Building to provide ready reference service to Members of the Senate and their staffs. The Senate Reference Center contains a basic collection of books, newspapers, periodicals, CRS material, a photocopying machine, and an ATS terminal for transmission of requests. The staff includes two librarians and two messengers from CRS and one attendant from the Loan Division.

AMERICAN REVOLUTION BICENTENNIAL PROGRAM

The program for the second in a series of five symposia on the American Revolution was announced in September. Symposium II, to be held at the Library, May 10-11, will address itself to the topic, "The Fundamental Testaments of the American Revolution." Julian P. Boyd, editor of the *Papers of Thomas Jefferson*, will chair the symposium. Speakers will be Bernard Bailyn of Harvard University, Cecelia Kenyon of Smith College, Merrill Jensen of the University of Wisconsin, Richard B. Morris of Columbia University, and former ambassador to the United Nations, J. Russell Wiggins. The symposia series is funded by a grant from the Morris and Gwendolyn Cafritz Foundation of Washington, D.C.

On October 6, the Advisory Committee to the Library's Bicentennial program at a meeting in the Library tentatively agreed upon topics for the three remaining symposia: "Leadership in the American Revolution"; "The Impact of the American Revolution Abroad"; and "The Uncompleted Revolution." Prospective speakers are now being considered.

In December the papers delivered at the first symposium, held on May 5-6, were published under the title *The Development of a Revolutionary Mentality*. In press are guides to the Library's prints and drawings from the period of the American Revolution and to the Library's manuscripts from the same period. Beginning in February, copy will be sent to the press for the massive bibliography, *Revolutionary America, 1763-1789*. It is anticipated that this volume will contain more than 10,000 entries of secondary works on the American Revolution. Work will soon begin, in cooperation with the Geography and Map Division, on a checklist of the Library's Revolutionary period maps.

Progress continues on the major project to collect and edit, with funds from a Ford Foundation grant, the *Letters of Delegates to Congress, 1774-1789*. Thus far, 7,100 delegate letters have been processed and accessioned and 5,000 more are on hand. It is anticipated that approximately 16,000 letters will ultimately be included, which, with some 2,000 diary entries, will fill 25 volumes.

OTHER LC PUBLICATIONS

Works issued since the last report include *The Music Division; a Guide to its Collections and Services; The Wide World of Children's Books*, an exhibit catalog; *Libros Parlantes*, a bilingual list of Spanish-language materials to meet the reading needs of blind or physically handicapped Spanish-speaking people; facsimiles of the first page of Genesis from the Library of Congress copy of the Gutenberg Bible and Captain John Smith's map of Virginia; a catalog of Angelo Rizzuto's photographs of New York; an exhibit catalog called *The Performing Arts in 19th-Century America;* and a supplement to *Children's Literature; a Guide to Reference Sources*. In the process of production are guides to the Harkness collection of Mexican documents, and law and legal literature of Mexico.

The October 1972 *Quarterly Journal*, which features the LC Main Building on its 75th anniversary, was delayed in production and publication is expected early in 1973. The January 1973 issue contains an article by Walter G. Langlois on the Malraux

film *Sierra de Teruel*, a copy of which is in the LC collections, a heavily illustrated article on the Matson picture collection in the Prints and Photographs Division, the annual article on the Acquisitions of the Music Division, and a brief description of the earliest known letter written by Walt Whitman, which has just been added to the Library collections.

The winter 1972 issue of *RQ* publishes "United States of American National Bibliographical Services and Related Activities in 1971"–a greatly expanded version of a report submitted to UNESCO–by Mary Jane Gibson, Assistant Head, Bibliography and Reference Correspondence Section, General Reference and Bibliography Division.

A detailed report of the Head of the African Section's publication survey trip to Africa and Europe, January-June, entitled *Africana Acquisitions; A Publication Survey Trip to Nigeria, Southern Africa, and Europe, 1972*, will be printed by GPO.

Spanish-Speaking Africa; A Guide to Official Publications, is in press.

G. K. Hall and Company will publish in book form the African Section's card file of citations to periodical articles added since 1970. This will supplement the file published in 1971 as *Africa South of the Sahara; Index to Periodical Literature, 1900-1970*.

A complete transcript of the Family Name Index in the Local History and Genealogy Room, as of December 1971, was published in March 1972 by the Magna Carta Book Company of Baltimore. Entitled *Genealogies in the Library of Congress, a Bibliography*, and edited by Marion J. Kaminkow, it lists over 20,000 genealogies, including many in foreign languages.

The same company is preparing for publication a bibliography of Library of Congress holdings in the field of U.S. local history. The cards have been microfilmed from the Library's official shelflist, for those books classed in F 1-975 of the LC classification schedule. Publisher's copy is being prepared from the file.

APPENDIX K

REPORT OF THE NATIONAL LIBRARY OF MEDICINE

The National Library of Medicine (NLM) has completed its 136th year with a staff of 465 and a budget of $24 million. This staff and these monies have been devoted to the development of services and products to improve medical research, education and practice. In working toward these goals, the NLM has collaborated with the medical library and the medical and health communities.

During this year about 30% of the NLM budget (approximately $7 million) was provided through grants to medical libraries for training, research, resources, publications, regional activities, and expanded services.

The Library's continued emphasis on improved access to biomedical information is reflected in the development and operation of the nationwide MEDLINE network. MEDLINE, which is an extension of MEDLARS, contains a data base of over 400,000 citations drawn from the 1970-1972 issues of 1200 medical journals. Currently there are 130 U.S. institutions with over 200 terminals connected by a telephone network to the computer at the NLM; and 50 users may simultaneously query the computer. Approximately 12,000 searches are done monthly which enable a librarian or health professional to obtain directly and immediately current information on medical research, education and practice.

The Library has also successfully developed and operated another information retrieval system, TOXICON (Toxicology Information Conversational On-line Network). Its data base is drawn from Toxicity Bibliography (56,000 citations); the Health Aspects of Pesticide Abstract Bulletin (9,000 abstracts with Chemical Abstracts registry numbers, 1966--1971); and Chemical Biological Activities (CBAC) (110,000 abstracts with CAS registry numbers, 1965--1972). This system was developed to respond to the needs of environmental and health scientists for toxicology information and data. Coupled with these computer services are 23,000 reference services, 60,000 motion picuture film loans, 24 recurring bibliographies, 120 interlibrary loans and photocopies provided by NLM each year.

The Library continues to explore the use of technology for improving communications. Its Lister Hill National Center for Biomedical Communication has a successful satellite project in Alaska which provides voice consultation between community health aides and physicians at medical centers, as well as continuing education of health aides, nurses and physicians. Weather and terrain often will not permit other modes of communication. The satellite

linkage is reliable and has been credited with saving the lives of two critically ill persons. The Lister Hill Center sponsors a New England television network. There is full two-way interactive television which brings into contact the medical school classroom and the small community hospital. Experimental projects are being initiated for the use of cable television in areas of New York City. These are pilot efforts to evaluate the usefulness of incorporating cable TV into health care and educational programs. Computer-aided medical instruction is another area which is being evaluated using the communications network of MEDLINE, computer-assisted instructional materials developed by Ohio State University Medical School and by Massachusetts General Hospital (Harvard Medical School) which will be available for use and assessment by other institutions.

The National Medical Audiovisual Center of NLM has, as its primary responsibilities, the acquisition and distribution of audiovisual materials and the development and application of nonprint media for biomedical information transfer. Cooperation with specialty groups has resulted in the development of multi-media packages which are being tested within academic settings to determine their impact on the nature and quality of medical school curricula.

In the copyright suit against the United States filed by Williams and Wilkins, a "Report of the Commissioner to the U.S. Court of Claims" was made in February, 1972, against the Federal Government. However, the decision by the Court of Claims has not yet been made.

Melvin S. Day
January, 1973

APPENDIX L

ATTENDANCE AT 81ST MEETING

Members

University of Alberta Library
Bruce Peel

University of Arizona Library
W. David Laird,

Boston Public Library
Philip J. McNiff

Boston University Library
John Laucus

University of British Columbia Library
Basil Stuart-Stubbs

Brown University Library
David A. Jonah

University of California Library
(Berkeley) Richard Dougherty

University of California Library
(Davis) J. R. Blanchard

University of California Library
(Los Angeles) Robert Vosper

Case Western Reserve University Libraries
James V. Jones

Center for Research Libraries
Gordon R. Williams

University of Chicago Library
Stanley McElderry

University of Cincinnati Libraries
Hal B. Schell

University of Colorado Library
Ellsworth C. Mason

Columbia University Libraries
Warren J. Haas

University of Connecticut Library
John P. McDonald

Cornell University Libraries
David Kaser

Dartmouth College Libraries
Edward C. Lathem

Duke University Libraries
Benjamin E. Powell

University of Florida Libraries
Gustave A. Harrer

Florida State University Library
N. Orwin Rush

Georgetown University Library
Joseph E. Jeffs

University of Georgia Libraries
W. P. Kellam

Harvard University Library
Douglas W. Bryant

Howard University Libraries
Kenneth Wilson

University of Illinois Library
Lucien W. White

Indiana University Libraries
W. Carl Jackson

University of Iowa Libraries
Leslie W. Dunlap

Iowa State University Library
Warren Kuhn

John Crerar Library
William S. Budington

Johns Hopkins University Library
John H. Berthel

Joint University Libraries
Frank P. Grisham

University of Kansas Library
David W. Heron

University of Kentucky Libraries
Stuart Forth

Library of Congress
L. Quincy Mumford

Louisiana State University Library
T. N. McMullan

McGill University Library
Richard A. Farley

University of Maryland Library
Howard Rovelstad

University of Massachusetts Libraries
Richard J. Talbot

Massachusetts Institute of Technology Libraries
Natalie N. Nicholson

University of Michigan Library
Frederick H. Wagman

Michigan State University Library
Richard Chapin

University of Minnesota Libraries
Ralph H. Hopp

University of Missouri Library
Dwight Tuckwood

National Library of Canada
Joseph Guy Sylvestre

National Library of Medicine
Joseph Leiter

University of Nebraska Libraries
John W. Heussman

New York Public Library
Richard W. Couper

New York State Library
John A. Humphry

New York University Libraries
George Winchester Stone, Jr.

University of North Carolina Libraries
Louise McG. Hall

Northwestern University Libraries
John P. McGowan

University of Notre Dame Libraries
David E. Sparks

Ohio State University Libraries
Hugh Atkinson

University of Oklahoma Library
James K. Zink

Oklahoma State University Library
Roscoe Rouse

University of Oregon Library
Carl W. Hintz

University of Pennsylvania Libraries
Richard De Gennaro

Pennsylvania State University Library
Murray S. Martin

University of Pittsburgh Library
Glenora Edwards Rossell

Princeton University Library
William S. Dix

Purdue University Library
Joseph M. Dagnese

Rice University Library
Richard L. O'Keeffe

University of Rochester Libraries
Ben Bowman

Rutgers University Library
Virginia P. Whitney

Smithsonian Institution Libraries
Russell Shank

University of Southern California Library
Roy L. Kidman

Southern Illinois University Library
Ralph E. McCoy

Stanford University Libraries
David C. Weber

State University of New York at Buffalo Libraries
Eldred Smith

Syracuse University Library
Warren N. Boes

Temple University Library
Arthur Hamlin

University of Tennessee Libraries
Richard Boss

University of Texas Libraries
Merle N. Boylan

Texas A & M University Library
John B. Smith

University of Toronto Libraries
Robert H. Blackburn

Tulane University Library
John H. Gribbin

University of Utah Library
Brigham D. Madsen

University of Washington Library
Marion A. Milczewski

Washington State University Library
G. Donald Smith

Washington University Libraries
William Kurth

Wayne State University Library
Vern M. Pings

University of Wisconsin Libraries
Joseph H. Treyz, Jr.

Yale University Libraries
Rutherford D. Rogers

ARL Staff:

Stephen A. McCarthy..... Executive Director
Duane E. Webster..... Director, Office of University Library Management Studies
Suzanne Frankie..... Research Specialist

Guests:

Thomas R. Buckman	Foundation Center
Frederick Burkhardt	American Council of Learned Societies
Fred Cole	Council on Library Resources
F. Kurt Cylke	Federal Library Committee
Herman Fussler	University of Chicago Graduate Library School
Eugene Kennedy	New York University Libraries
Larry Livingston	Council on Library Resources
Beverly Lynch	Association of College & Research Libraries
Roy Mersky	Jewish National and University Library, Hebrew University
Keyes Metcalf	
Foster Mohrhardt	Council on Library Resources
Vernon Palmour	Westat Research, Inc.
Carl Spaulding	Council on Library Resources
Charles Stevens	National Commission on Libraries and Information Science

Members Not Represented

University of Alabama Library

Linda Hall Library

National Agricultural Library

St. Louis University Library

University of Virginia

APPENDIX M

COMMISSIONS AND COMMITTEES OF THE ARL

A. OVERVIEW

ARL COMMISSIONS

1. Commission on Development of Resources
2. Commission on Organization of Resources
3. Commission on Access to Resources
4. Commission on Management of Research Libraries
5. Commission on External Affairs
6. ARL Executive Committee

ARL COMMITTEES

Access to Manuscripts - 3*
Advisory Committee to Study Centralized and Regionalized Interlibrary Loan Centers - 3
Advisory Committee to Study Feasibility of Electronic Distributive Network for Interlibrary Loans - 3
Advisory Committee to Study Improved Interlibrary Loan System - 3
Copyright - 6
Center for Chinese Research Materials - 1
Data Bases - 3
Federal Relations - 5
Foreign Acquisitions - 1
Foreign Newspaper Microfilm Project - 1
Interlibrary Loans - 3
Library Services to Commercial Users - 3
Library Services to External Scholars - 3
Machine-Based Serials Records - 2
National Program for Acquisitions and Cataloging - 2
Negro Academic Libraries - 5
Nominations - 6
Preservation of Research Library Materials - 1
Recommendations of Federal Information Resources Conference - 5
Role and Objectives of ARL - 5
Statistics - 6
University Library Management - 4
University Library Standards - 4

*Numbers following Committee names indicate the ARL Commissions responsible for the Committee.

B. MEMBERSHIP

1. COMMISSION ON DEVELOPMENT OF RESOURCES

Page Ackerman (Jan. 1975)
Basil Stuart-Stubbs (Jan. 1976)
Douglas Bryant, Chairman (Jan. 1974)

The Commission on Development of Resources is responsible for the following committees:

Committee on Center for Chinese Research Materials

Edwin G. Beal, Jr.
John Israel
Ying-mao Kau
Frederick Mote
Eugene Wu
Philip McNiff, Chairman

Committee on Foreign Acquisitions

Edmond Applebaum
Lloyd Griffin
James Henderson
Marion Milczewski
Gordon Williams
Philip McNiff, Chairman
Chairman of Area Subcommittees:
- Louis Jacob (South Asia)
- Robert Johnson (Latin America)
- David Kaser (Southeast Asia)
- Lucien White (Eastern Europe)
- Hans Panofsky (Africa)
- David Partington (Middle East)
- Howard Sullivan (Western Europe)
- Warren Tsuneishi (Far East)
- Chairman of Foreign Newspaper Microfilm Committee

Committee on Foreign Newspaper Microfilm Project

Basil Stuart-Stubbs
Lucien White
Gordon Williams
John Lorenz, Chairman

Committee on Preservation of Research Library Materials

Robert Blackburn
Douglas Bryant
Herman Fussler
L. Quincy Mumford
Rutherford Rogers
Gordon Williams
James Henderson, Chairman

***** *****

2. COMMISSION ON ORGANIZATION OF RESOURCES

William Budington (Jan. 1976)
Joseph Treyz, Jr. (Jan. 1975)
David Kaser, Chairman (Jan. 1974)

The Commission on Organization of Resources is responsible for the following committees:

Committee on Machine Based Serials Records

Warren Boes
William Budington
Ralph Hopp
Norman Stevens
John P. McGowan, Chairman

National Program for Acquisitions and Cataloging Liaison Committee

David Kaser
Philip McNiff
Howard Sullivan
Frederick Wagman, Chairman

***** *****

3. COMMISSION ON ACCESS TO RESOURCES

David Weber (Jan. 1976)
Virginia Whitney (Jan. 1975)
Edward Lathem, Chairman (Jan. 1974)

The Commission on Access to Resources is responsible for the following committees:

Committee on Access to Manuscripts

Roy Basler
William Bond
William Cagle
James Henderson, Chairman

Committee on Data Bases

Hugh Atkinson
Richard De Gennaro
Richard O'Keeffe
Glenora Rossell
Gustave Harrer, Chairman

Advisory Committee to Study Centralized and Regionalized Interlibrary Loan Centers

Evan Farber
Efren Gonzalez
John Humphry
Alphonse Trezza
Ralph Hopp, Chairman

Advisory Committee to Study Feasibility of Electronic Distributive Network for Interlibrary Loans

Richard Chapin
David Heron
Jay Lucker
Vern Pings
David Weber, Chairman

Advisory Committee to Study Improved Interlibrary Loan System

Joseph Jeffs
Louis Martin
Stanley McElderry
Gordon Williams
David Heron, Chairman

Committee on Library Services to Commercial Users

To be appointed.

Committee on Library Services to External Scholars

To be appointed.

4. COMMISSION ON MANAGEMENT OF RESEARCH LIBRARIES

Ben Bowman (Jan. 1974)
Richard De Gennaro (Jan. 1975)
Warren Haas, Chairman (Jan. 1976)

The Commission on Management of Research Libraries is responsible for the following committees:

ARL-ACE Committee on University Library Management

Willard Boyd, President, University of Iowa
Douglas Bryant
Allan Cartter, Carnegie Commission on Higher Education
Herman Fussler
Howard Johnson, Chairman of the Corporation, Massachusetts Institute of Technology
Richard Lyman, President, Stanford University
John McDonald
Robert Vosper
Stephen McCarthy, ex officio

ARL-ACRL Committee on University Library Standards

Clifton Brock
Gustave Harrer
John Heussman
Jay Lucker
Ellsworth Mason
John McDonald
Norman Tanis
Robert Downs, Chairman

***** *****

5. COMMISSION ON EXTERNAL AFFAIRS

Richard Couper (Jan. 1974)
John McDonald (Jan. 1976)
Roy Kidman, Chairman (Jan. 1975)

The Commission on External Affairs is responsible for the following committees:

Committee on Federal Relations

Stuart Forth
W. Carl Jackson
Benjamin Powell
Rutherford Rogers
Chairman of Foreign Acquisitions Committee
Robert Vosper, Chairman

Committee on Negro Academic Libraries

Arthur Hamlin
David Kaser
Frank Grisham, Chairman

Committee on Recommendations of Federal Information Resources Conference

Hugh Atkinson
John Berthel
Joseph Jeffs
W. Carl Jackson, Chairman

Committee on Role and Objectives of ARL

Douglas Bryant
Warren Haas
W. Carl Jackson
David Kaser
Edward Lathem
John McDonald
Robert Vosper
Roy Kidman, Chairman

***** *****

6. ARL EXECUTIVE COMMITTEE

Ralph Hopp, Vice President and President-elect
Stephen McCarthy, Executive Director
John McDonald, Past President
William Budington, President, Chairman

The ARL Executive Committee is responsible for the following committees:

Committee on ARL Statistics

Gustave Harrer
John Heussman
Ben Bowman, Chairman

Committee on Copyright

Howard Rovelstad, Chairman

Committee on Nominations

Ralph Hopp, Chairman

***** *****

Representative on Advisory Committee to National Translation Center (Crerar)	Joseph Shipman
Representative on Joint Statistics Coordinating Committee	Harold Gordon
Representative on Joint Committee on Union List of Serials	William Budington
Representatives on COSATI Panel on Library Programs	Stephen McCarthy John Berthel W. Carl Jackson Joseph Jeffs
Representatives on Library of Congress Liaison Committee for Librarians	ARL President ARL Vice President ARL Executive Director
Representative on Library Relations Committee of the National Microfilm Association	Ralph E. McCoy
Representative to United States Book Exchange	W. Porter Kellam
Representative on ANSI Committee Z-39	To be appointed

APPENDIX N

MEMBERSHIP OF ASSOCIATION OF RESEARCH LIBRARIES

JANUARY 1973

University of Alabama Library
Tuscaloosa, Alabama 35486
Charlie Scott, Dean, Graduate School
(205) 348-5298

University of Alberta Library
Edmonton, Alberta, Canada
Bruce Peel, Director
(403) 432-3790

University of Arizona Library
Tucson, Arizona 85721
W. David Laird, Librarian
(602) 884-2101

Boston Public Library
Boston, Massachusetts 02117
Philip J. McNiff, Librarian
(617) 536-5400

Boston University Library
Boston, Massachusetts 02215
John Laucus, Director
(617) 353-3710

University of British Columbia Library
Vancouver 8, British Columbia, Canada
Basil Stuart-Stubbs, Librarian
(604) 228-2298

Brown University Library
Providence, Rhode Island 02912
David A. Jonah, Librarian
(401) 863-2162

University of California Library
Berkeley, California 94720
Richard Dougherty, Librarian
(415) 642-3773

University of California Library
Davis, California 95616
J. R. Blanchard, Librarian
(916) 752-2110 ext. 2167

University of California Library
Los Angeles, California 90024
Robert Vosper, Librarian
(213) 825-1201

Case Western Reserve University Librarie
Cleveland, Ohio 44106
James V. Jones, Director
(216) 368-2990

Center for Research Libraries
Chicago, Illinois 60637
Gordon R. Williams, Director
(312) 955-4545

University of Chicago Library
Chicago, Illinois 60637
Stanley McElderry, Director
(312) 753-3487

University of Cincinnati Libraries
Cincinnati, Ohio 45221
Hal B. Schell, Dean, Library Admin.
& Director of Libraries
(513) 475-2533

University of Colorado Library
Boulder, Colorado 80304
Ellsworth C. Mason, Director
(303) 443-2211 ext. 7511

Columbia University Libraries
New York, New York 10027
Warren J. Haas, Vice President & Libn.
(212) 280-2247

University of Connecticut Library
Storrs, Connecticut 06268
John P. McDonald, Director
(203) 486-2219

Cornell University Libraries
Ithaca, New York 14850
David Kaser, Director
(607) 256-3689

Dartmouth College Libraries
Hanover, New Hampshire 03755
Edward C. Lathem, Librarian
(603) 646-2236

Duke University Libraries
Durham, North Carolina 27706
Benjamin E. Powell, Librarian
(919) 684-8111 ext. 2034

University of Florida Libraries
Gainesville, Florida 32603
Gustave A. Harrer, Director
(904) 392-0341

Florida State University Library
Tallahassee, Florida 32306
N. Orwin Rush, Librarian
(904) 599-3290

Georgetown University Library
Washington, D. C. 20007
Joseph E. Jeffs, Director
(202) 625-4095

University of Georgia Libraries
Athens, Georgia 30601
W. P. Kellam, Director
(404) 542-2716

Harvard University Library
Cambridge, Massachusetts 02138
Douglas W. Bryant, Director
(617) 495-2404

Howard University Libraries
Washington, D. C. 20001
William D. Cunningham, Director
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